REQUEST FOR PROPOSAL

Electronic Laboratory Reporting (ELR)

RFP #: 07-65624

**State of California
Department of Health Services
Division of Communicable Disease Control (DCDC)
1616 Capitol Ave. MS 7300
Sacramento, CA 95814**

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SECTION 1: **INTRODUCTION AND OVERVIEW**

1.1 Purpose of this Request for Proposals (RFP)

The State of California, Department of Health Services, Division of Communicable Disease Control (DCDC) is seeking a Commercial Off-the Shelf (COTS)/Modifiable Off-the-Shelf (MOTS) web-based application that will support state-wide laboratory reporting. The purpose of this procurement is to obtain proposals from responsible firms that can provide California with a web-based application that will be used by laboratories to report laboratory reports for notifiable conditions to Local Health Departments (LHDs) and California Department of Health Services (CDHS) for use in public health investigation, case management, and surveillance activities utilizing Web-CMR (please refer to the companion RFP 07-65623).

Currently most laboratories submit paper laboratory reports for notifiable conditions to the LHDs via mail or facsimile. LHDs collect data on investigation, follow-up, and surveillance activities, and use a combination of paper-based files and information systems to store disease report data. LHDs then submit confirmed disease reports to DCDC by paper, facsimile, or electronic methods.

This system will provide a web-based application for laboratories to electronically report laboratory reports for notifiable conditions directly to Local Health Departments (LHDs), via manual entry through a secure web-interface and/or electronic messaging from a Laboratory Information System (LIS). When deployed, the laboratory reports reported via ELR will be available for surveillance and case management activities in Web-CMR. All reported information will be immediately available to the LHD to assist in any investigation and CDHS will be able to view and evaluate all reports for purposes of early detection and response.

Responses to this RFP will be evaluated based on the best value to the State. Best value to the State is the proposal that best meets, and potentially exceeds, the State's Administrative, Technical, and Business Requirements at the most reasonable overall cost to implement and operate. The award**,** if made, will be to a single bidder awarded the highest points as calculated in accordance with the methodology defined in *Section 9*: **Evaluation and Selection** of this RFP. Bidders should carefully read *Section 9*: **Evaluation and Selection**, to ensure they understand the evaluation process.

1.2 Scope of the RFP and Bidder Admonishment

This RFP contains the instructions governing the requirements for proposal submission, including a firm cost quotation, by interested Bidders. The format that proposal information is to be submitted in and the material to be included therein, follows. This RFP addresses the requirements that Bidders must meet to be eligible for consideration, and addresses Bidders' responsibilities before and after installation and configuration of the solution. This procurement is exempt from the provisions of Part 2 of Division 2 of the Public Contract Code. (See Health and Safety Code section 101319.) Requirements, processes, and procedures set forth in this RFP do not constitute incorporation or affirmation of either the provisions of Part 2 of Division 2 of the Public Contract Code or any implementing regulation. Likewise, use of certain provisions and terminology in this RFP is for administrative convenience only and does not, by that use, constitute adoption or incorporation of any provisions of Part 2 of Division 2 of the Public Contract Code or any implementing regulation. All processes and procedures set forth in this RFP constitute the sole administrative processes and procedures available for Bidders. No further administrative remedies (e.g., protests, appeals, or requests for reconsideration) will be available for Bidders following issuance of the Notice of Intent to Award the contract resulting from this procurement. Selection of the Vendor shall constitute the final administrative determination.

Bidders are expected to take the responsibility to:

- Carefully read the entire RFP;
- Ask appropriate questions in a timely manner, if clarification is necessary;
- Submit all required responses, complete to the best of the Bidder's ability by the required dates and times;
- Ensure that all procedures and requirements of the RFP are accurately followed and appropriately addressed; and
- Carefully reread the entire RFP before submitting a bid.

1.3 Availability

The selected Vendor must meet the Mandatory requirements of this RFP, as described in Section 5 and Section 6.2 of this RFP, and be ready to begin work on the anticipated Contract Award date specified in 1.5 Key Action Dates.

1.4 Procurement Official

The Procurement Official and the mailing address to send proposals and questions are:

~~Kenny Moore~~

~~Information Technology Services~~

~~1615 Capitol Avenue~~

~~PO Box 997413~~

~~MS 6201~~

~~Sacramento, CA 95899-7413~~

~~Kenny.Moore@cdph.ca.gov~~

Scott Paterson

California Department of Public Health

Information Technology Services Division

Project Management Office

MS 6200, 173.3.240

PO BOX 997413

Sacramento, CA 95899-7413

Phone (916) 440-7329, FAX (916) 440-7069

Email: Scott.Paterson@cdph.ca.gov

1.5 Key Action Dates

Listed below are the key actions and dates by which the actions must be taken or completed for this RFP. If DCDC finds it necessary to change any of these dates, it will be accomplished via an addendum to this RFP. ***All dates after the proposal submission deadline are approximate and may be adjusted as conditions indicate, without addendum to this RFP.***

#	Action	Date/Time
1	Release RFP	**6/15/2007**
2	Submit Letter(s) of Intent to Bid, signed confidentiality statement, and financial responsibility information	**6/25/2007**
3	Last day to submit questions for clarification of the RFP	**6/29/2007**
4	Release Question and Answer set	**7/13/2007**
5	Draft Proposals due	**8/10/2007 / 5:00 PM PDT**
6	Evaluation of Draft Proposals	**8/13/2007 – 8/24/2007**
7	Provide feedback to each Bidder regarding Draft Proposal	**8/24/2007**
8	Last day to submit follow-up questions	**9/4/2007**
9	Final Proposals due	**9/7/2007 / 5:00 PM PDT**
10	Evaluation of Final Proposals	**9/10/2007 – 9/21/2007**
11	Selection of Vendor	**9/24/2007 – 9/28/2007**
12	Conduct Proof of Concept (POC) Demonstration	**10/1/2007 – 10/5/2007**
13	Submit ~~intent to award contract~~ Notice of Intent to Award Contract	**10/9/2007**
14	Contract ~~negotiations~~ execution	**10/9/2007 – 11/2/2007**
15	Special Project Report (SPR) preparation and approval	**11/5/2007 – 2/292008**
14	Anticipated contract award date[1]	**3/3/2008**

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[1] Contract execution is contingent upon Department of Finance SPR approval.

1.6 Intention to Bid

Bidders that want to participate in this procurement must submit a notification of intention to bid on this procurement in order to receive additional correspondence. ***To participate in this procurement, Bidders must also participate in the procurement for the companion Web-CMR RFP (07-65623).*** Only those Bidders acknowledging interest in participating in both RFPs will receive additional correspondence regarding this procurement. The letter shall identify a single contact person for the solicitation process, and must include a phone number, fax number, and email address. There is to be only one (1) contact person during the solicitation process. Information related to a Bidder will only be given to the designated contact person. It shall be the Bidder's responsibility to immediately notify the State's Procurement Official, in writing, regarding any revision to the information pertaining to the designated contact person. The State shall not be responsible for proposal correspondence not received by the Bidder, if the Bidder fails to notify the State, in writing, about any change pertaining to the designated contact person.

Bidders who wish to participate are required to return the Letter of Intent to Bid (**Exhibit 1-A**) for this RFP *and the Letter of Intent to Bid from the companion Web-CMR RFP (07-65623)* to the Procurement Official listed in Section 1.4 Procurement Official.   These letters must be submitted by the date specified in Section 1.5 Key Action Dates for the Bidder to receive additional correspondence regarding this procurement.

1.7 Financial Responsibility Information

Bidders responding to this RFP must demonstrate financial stability and capability to fulfill the obligations of this RFP. In addition to submitting the Statement of Experience and Financial Condition (**Exhibit 1-B**), financial statements for the last five (5) fiscal years along with additional supporting documentation are required to be submitted with the Letter of Intent to Bid. Acceptable types of financial statements include, but are not limited to:

- Financial Statement or Annual Report or 10K

- Statement of income and related earnings

- Statement of Changes in financial position

- Letter from the Bidder's banking institution

- Statement from certified public accounting firm

The State may obtain independent credit statements for Bidders submitting a proposal. If the information submitted by the Bidder, or available from other sources, is insufficient to satisfy the State as to the Bidder's contractual responsibility, the State may request additional information from other sources or may reject the proposal. The State's determination of the Bidder's financial responsibility, for the purposes of this RFP shall be final.

Note: If any of the submitted information pertaining to financial responsibility is identified by the Bidder as confidential, it shall be treated as such by the State and ~~returned upon request after the Bidder's financial responsibility has been determined~~ shall not be disclosed to any requesting party unless a Court orders disclosure

1.8 Confidentiality

To preserve the integrity of the security and confidentiality measures integrated into the State's automated information systems, each Bidder is required to sign the Confidentiality Statement attached as **Exhibit 1-C** and submit it with the Letter of Intent to Bid by the date specified in Section 1.5 Key Action

Dates. Bidders responding to the RFP must keep information made available by the State for the purpose of responding to this RFP confidential. Documents, diagrams, information, and information storage media provided by the State shall not be disclosed, and shall only be accessible by authorized Bidder's employees.

1.9 Appendices to this RFP

Two appendices to this RFP have been provided for Bidders to gain additional information and clarification regarding the Business Requirements of this RFP. They include:

- Appendix A: **ELR Requirements**. This document is the set of Business Requirements contained within this RFP, and includes supplementary explanations of the State's requirements

- Appendix B: **Business Requirements Workflows**. This document describes the workflows that the business requirements contained within this RFP (07-65624) and the Web-CMR RFP (07-65623) support.

An additional appendix contains a sample contract for Bidders to review.

- Appendix D: **Model Contract**. This document contains a model contract to provide Bidders an example of the State's contracting language.

1.10 Notice Regarding Departmental Reorganization

- The parties to this agreement acknowledge that the California Public Health Act of 2006 (Act; Senate Bill 162, Chapter 241, Statutes 2006), effective July 1, 2007, establishes the California Department of Public Health (CDPH) and renames the California Department of Health Services (CDHS) as the California Department of Health Care Services (DHCS).

- Agreements approved before July 1, 2007 shall continue in full force and effect, with the renamed DHCS and the newly formed CDPH assuming all of the rights, obligations, liabilities, and duties of the former CDHS and any of its predecessors as relates to the duties, powers, purposes, responsibilities, and jurisdiction vested by the Act in each of the resulting departments.

- Agreements approved on or after July 1, 2007 that refer to CDHS shall be interpreted to refer to the renamed DHCS or the newly formed CDPH, as appropriate under the terms of the agreement. DHCS or CDPH, as appropriate under the terms of the agreement, shall assume all of the rights, obligations, liabilities, and duties of the former CDHS and any of its predecessors as relates to the duties, powers, purposes, responsibilities, and jurisdiction vested by the Act in each of the resulting departments. The assumption by each department shall not in any way affect the rights of the parties to the agreement.

- As a result of the departmental reorganization discussed above, various CDHS programs may experience a physical relocation, change in personnel, change in procedures, or other effect. If this agreement is impacted by SB 162, CDHS reserves the right, without initiation of a formal amendment, to issue one or more written notices to the Contractor supplying alternate information and/or instructions regarding invoicing, document addressing, personnel changes, and/or other procedural changes.

Exhibit 1-A

Exhibit 1-A: *Letter of Intent to Bid* for RFP # 07-65624

Direct the Letter of Intent to Bid to the individual shown below:

Kenny Moore   Telephone: (916) 440-7181
Information Technology Services   Fax: (916) 319-9333
1615 Capitol Avenue, MS 6201   E-mail: Kenny.Moore@cdph.ca.gov
PO Box 997413
Sacramento, CA 95899-7413

Bidder shall specify by checking one of the following regarding their present intent in response to the above referenced RFP.

☐   Submit a proposal and has no problem with the RFP requirements

☐   Submit a proposal, but has one or more problems with the RFP requirements for the reasons stated in this response (specify below)

☐   Does not intend to submit a proposal, for reasons stated in this response, and has no problem with the RFP requirements

☐   Does not intend to submit a proposal because of one or more problems with the RFP requirements for reasons stated in this response (specify below)

The individual to whom all information regarding this RFP should be transmitted is:

Company Name: _____

Contact Person: _____

Address: _____

City, State, & Zip: _____

Phone Number: _____   Fax Number: _____

E-mail Address: _____

We are enclosing, as requested, the following completed documents:

- Statement of Experience and Financial Condition (Exhibit 1-B)
- Financial Statements for the last five (5) fiscal years ended
- Signed Confidentiality Statement (Exhibit 1-C)

Sincerely,

_____   Date: _____

Print Name and Title: _____

If not submitting a proposal and/or bidder has one or more problems with the RFP requirements, please state below:

Exhibit 1-B

Exhibit 1-B: *Statement of Experience and Financial Condition*

Submitted By: _____

Name of Firm: _____

Address: _____

Dates of Financial Statements: _____

PRIVACY NOTIFICATION

The State of California Information Practices Act of 1977 requires the State to provide the following information to individuals who are asked to supply information about themselves:

The principal purpose for requesting the information on this form is to provide financial information to determine financial qualification. State policy and state and federal statutes authorize maintenance of this information.

Furnishing all information on this form is mandatory. Failure to provide such information will delay or may even prevent completion of the action for which the form is being filled out.

The official responsible for maintaining the information contained in this form is:

Terry McIntire-Hicks
Division of Communicable Disease Control
1616 Capitol Avenue, Suite 74.318, MS 7300
Sacramento, CA 95814

The State will treat all financial information provided as confidential when designated as such. This information will only be shared with State personnel involved in the evaluation. ~~*All financial data will be returned or destroyed if requested.*~~ *If any of the submitted information pertaining to financial responsibility is identified by the Bidder as confidential, it shall be treated as such by the State and shall not be disclosed to any requesting party unless a Court orders disclosure. Vendors may be required to provide additional financial data as part of the RFP.*

"We have **(prepared/examined/reviewed)** the balance sheet of **(Bidder**) as of **(date)** and the related statements of income, retained earnings and changes in financial position for the last five (5) fiscals years ended.

In **(my/our)** opinion, the financial statements mentioned present fairly the financial position of **(Bidder)** as of **(date)** and the results of its operations and changes in its financial position for the last five (5) fiscal years ended, in conformity with generally accepted accounting principles applied on a consistent basis."

_____   _____
Company Name   Signature

_____   _____
Company Address   Date

Exhibit 1-C

Exhibit 1-C: *Confidentiality Statement*

As an authorized representative and/or corporate officer of the company named below, I warrant my company and its employees will not disclose any documents, diagrams, information and information storage media made available to us by the State for the purpose of responding to ***RFP 07-65624*** or in conjunction with any contract arising there from. I warrant that only those employees who are authorized and required to use such materials will have access to them.

I further warrant that all materials provided by the State will be returned promptly after use and that all copies or derivations of the materials will be physically and/or electronically destroyed. I will include with the returned materials, a letter attesting to the complete return of materials, and documenting the destruction of copies and derivations. Failure to so comply will subject this company to liability, both criminal and civil, including all damages to the State and third parties. I authorize the State to inspect and verify the above.

I warrant that if my company is awarded the contract, it will not enter into any agreements or discussions with a third party concerning such materials prior to receiving written confirmation from the State that such third party has an agreement with the State similar in nature to this one.

_____   _____
Name of Representative (Signature)   Date

_____
Printed or Typed Name of Representative

_____
Printed or Typed Name of Company

SECTION 2: **RULES GOVERNING COMPETITION**

2.1 Identification and Classification of RFP Requirements

2.1.1 Mandatory Requirements

The State has established certain Mandatory Requirement that Bidders **must** comply with to be considered responsive to this RFP. Non-compliance with a Mandatory Requirement is cause for rejection of the proposal. These Mandatory Requirements are clearly marked as such throughout this document. There are Mandatory Administrative and Business Requirements contained within this RFP.

2.1.2 Desirable Requirements

The State has established certain Desirable Requirements, indicating desirable attributes or features of the proposed solution. Non-compliance with a Desirable Requirement is not cause for rejection of the proposal. These Desirable Requirements are clearly marked as such throughout this document. There are Desirable Business Requirements contained within this RFP.

2.1.3 Optional Requirements

The State has established certain Optional Requirements, indicating optional attributes or features of the proposed solution. Non-compliance with an Optional Requirement is not cause for rejection of the proposal. These Optional Requirements are clearly marked as such throughout this document. There are Optional Business Requirements contained within this RFP.

2.2 Bidding Requirements and Conditions

2.2.1 General

A Bidder's Final Bid is an irrevocable offer for three hundred sixty five (365) days following the scheduled date for contract award specified in Section 1.5 Key Action Dates. A Bidder may extend the offer in the event of a delay of contract award.

2.2.2 RFP Documents

This RFP includes, in addition to an explanation of the State's needs which must be met, instructions which prescribe the format and content of proposals to be submitted.

If a Vendor discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Vendor shall immediately notify the State of such error in writing and request clarification or modification of the document. Modifications will be made by addenda.

Modifications will be made by addenda as described below in **2.2.7 Addenda 2.2.6 Addenda**. Such clarifications shall be given by written notice without divulging the source of the request for clarification.

If the RFP contains an error known to the Vendor, or an error that reasonably should have been known, the Vendor shall bid at its own risk. If the Vendor fails to notify the State of the error prior to the date fixed for submission of bids, and is awarded the contract, the Vendor shall not be entitled to additional compensation or time by reason of the error or its later correction.

2.2.3 Examination of the Work

Each Vendor should carefully examine the entire RFP, any addenda thereto, all related materials and data referenced in the RFP or otherwise available to the Vendor; and should become fully aware of the nature and location of the work, the quantities of the work, and the conditions to be encountered in performing the work.

2.2.4 Vendor's Intention to Submit a Proposal

Vendors who have been furnished a copy of the RFP for bidding purposes are asked to state their intention by the date specified in Section 1.5 Key Action Dates. Vendors are asked to categorize their intent as follows:

- Intends to submit a proposal and has no problem with the RFP requirements

- Intends to submit a proposal and has one or more problems with the RFP requirements

- Does not intend to submit a proposal and has no problem with the RFP requirements

- Does not intend to submit a bid because of one or more problems with the RFP requirements

Hereafter, for the purposes of the instructions of this RFP, all Vendors who have indicated their intent to submit a Final Proposal are called Bidders until such time that the Bidder withdraws or other facts indicate that the Bidder has become nonparticipating.

2.2.5 Questions Regarding the RFP

Bidders requiring clarification of the intent or content of this RFP or on procedural matters regarding the bid process may request clarification by submitting questions in writing to the Procurement Official listed in Section 1. To ensure a response, questions must be received in writing by the scheduled date given in Section 1.5 Key Action Dates. Question and answer sets will be provided to all Bidders. The State will publish questions as they are submitted, including any background information provided with the question; however, the State at its sole discretion may paraphrase the question and background content for clarity. Follow-up questions may be submitted to the Procurement Official listed in Section 1 until three (3) days prior to the Final Proposal due date, listed in Section 1.5 Key Action Dates.

2.2.6 Addenda

The State may modify the RFP prior to the date fixed for submission of Final Bids by issuance of an addendum to all parties who are participating in the bidding process at the time the addendum is issued, unless the amendments are such as to offer the opportunity for nonparticipating Bidders to become participating, in which case the addendum will be sent to all Bidders that have identified their intent to be a Bidder. Addenda will be numbered consecutively.

2.2.7 Bonds

The State reserves the right to require a performance bond in an amount not to exceed the amount of the contract. The performance bond required for this procurement is specified in *Section 5*: **Administrative Requirements**.

2.2.8 Exclusion for Conflict of Interest

No consultant shall be paid out of State funds for developing recommendations on the acquisition of information technology (IT) products or services or assisting in the preparation of a feasibility study, if that consultant is to be a source of such acquisition or could otherwise directly and/or materially

benefit from State adoption of such recommendations or the course of action recommended in the feasibility study. Further, no consultant shall be paid out of State funds for developing recommendations on the disposal of State surplus IT products, if that consultant would directly and/or materially benefit from State adoption of such recommendations.

2.2.9 Follow-On Contracts

No person, firm, or subsidiary thereof who has been awarded a consulting services contract, or a contract which includes a consulting component, may be awarded a contract for the provision of services, delivery of goods or supplies, or any other related action which is required, suggested, or otherwise deemed appropriate as an end product of the consulting services contract. Therefore, any consultant who contracts with a State agency to develop formal recommendations for the acquisition of IT products or services is precluded from contracting for any work recommended in the formal recommendations. (Formal recommendations include, among other things, feasibility studies.)

2.2.10 Disclosure of Financial Interests

Proposals in response to State procurements for assistance in preparation of feasibility studies or the development of recommendations for the acquisition of EDP products and services must disclose any financial interests (i.e., service contract, OEM agreements, remarketing agreements, etc.) that may forseeably allow the individual or organization submitting the proposal to materially benefit from the State's adoption of a course of action recommended in the feasibility study or the acquisition recommendations. If, in the State's judgment, the financial interest will jeopardize the objectivity of the recommendations, the State may reject the proposal. In addition, should a consultant establish or become aware of such a financial interest during the course of contract performance, the consultant must inform the State in writing within 10 working days. If, in the State's judgment, the newly-established financial interest will jeopardize the objectivity of the recommendations, the State shall have the option of terminating the contract.

Failure to disclose a relevant financial interest on the part of a consultant will be deemed grounds for termination of the contract with all associated costs to be borne by the consultant and, in addition, the consultant may be excluded from participating in the State's bid processes for a period of up to 360 calendar days in accordance with Public Contract Code Section 12102 (j).

2.3 Bidding Steps

2.3.1 Draft Proposal

Bidders must submit a Draft Proposal by the Date and Time specified in Section 1.5: Key Action Dates. Proposals must be received in the number of copies stated in **Section 8: Proposal Format** and not later than the dates and times specified in Section 1.5 Key Action Dates. The purpose of the Draft Proposal is to provide the State with a near-final proposal, which will be evaluated to identify (1) administrative deficiencies which if included in the Final Proposal could cause the proposal to be rejected; and (2) ambiguities in responses to requirements that require additional clarification in the Final Proposal by the Bidder. The Draft Proposal must be complete in all respects except that dollar cost information must be replaced by XXXs. The Evaluation Team will evaluate each Draft Proposal and will notify the Bidder regarding any identified deficiencies and areas requiring clarification in the Final Proposal. The notification is intended to minimize the risk that the Final Proposal will be non-compliant; however, the State will not provide any warranty that all deficiencies in the Draft Proposal have been detected and that such notification will not preclude rejection of the Final Proposal if such defects are later found.

2.3.2 Final Proposal

The Final Proposal must be complete, including all cost information, required signatures, required forms, and a detailed strategy for the Proof on Concept demonstration as outlined in *Section 8: Proposal Format*.

2.3.3 Confidentiality

Final bids are public upon ~~opening~~ Department of Finance Approval. However, the contents of all proposals, correspondence, agenda, memoranda, working papers, or any other medium which discloses any aspect of a Bidder's proposal shall be held in the strictest confidence until notice of intent to award. Bidders should be aware that marking a document "Confidential" or "Proprietary" in a Final Bid will not keep that document from being released after notice of intent to award as part of the public record, unless a court has ordered the State not to release the document. The content of all working papers and discussions relating to the Bidder's proposal shall be held confidential indefinitely unless the public interest is best served by an item's disclosure. Any disclosure of the confidential information by the Bidder is a basis for rejecting the Bidder's proposal, and ruling the Bidder ineligible to further participate. Any disclosure of confidential information by a State employee is a basis for disciplinary action, including dismissal from State employment, as provided by Government Code Section 19570 Et Seq. Total confidentiality is paramount; it cannot be over emphasized.

2.3.4 Submission of Proposals

The instructions contained herein apply to the Draft Proposal and the Final Proposal.

2.3.4.1 Preparation

Proposals are to be prepared in such a way as to provide a straightforward, concise delineation of capabilities to satisfy the requirements of this RFP. Expensive bindings, colored displays, promotional materials, are not necessary or desired. The emphasis should be concentrated on conformance to the RFP instructions, and clear, complete responsiveness to the RFP requirements. Before submitting each document, the Bidder should carefully proof it for errors and adherence to the RFP requirements.

2.3.4.2 Bidder's Cost

Costs for developing proposals are the responsibility entirely of the Bidder and shall not be chargeable to the State.

2.3.4.3 Completion of Proposals

Proposals must be complete in all respects as required by *Section 8:* **Proposal and Bid Format**. A Final Proposal may be rejected if it is conditional or incomplete, or if it contains any alterations of form or other irregularities of any kind. A Final Proposal must be rejected if any such defect or irregularity constitutes a material deviation from the RFP requirements.

2.3.4.4 False or Misleading Statements

Proposals which contain false or misleading statements, or which provide references which do not support an attribute or condition claimed by the Bidder, may be rejected. If, in the opinion of the State, such information was intended to mislead the State in its evaluation of the proposal, and the attribute, condition, or capability is a requirement of this RFP, it will be the basis for rejection of the proposal.

2.3.4.5 Signature of Proposal

A cover letter shall be signed by an individual who is authorized to bind the bidding firm contractually. The signature must indicate the title or position that the individual holds in the firm. An unsigned Final Proposal shall be rejected.

2.3.4.6 Delivery of Proposals

Mail or deliver proposals to the Procurement Official listed in <u>Section 1.4: Procurement Official</u>. If mailed, use certified or registered mail with return receipt requested. Proposals must be received in the number of copies stated in *Section 8:* **Proposal Format** and not later than the dates and times specified in <u>Section 1.5 Key Action Dates</u>. One copy must be clearly marked "Master Copy." All copies of proposals must be under sealed cover which is to be plainly marked with RFP 07-65624. Proposals submitted under improperly marked covers may be rejected. If discrepancies are found between two or more copies of the proposal, the proposal may be rejected. However, if not so rejected, the Master Copy will provide the basis for resolving such discrepancies. If one copy of the Final Proposal is not clearly marked "Master Copy," the State may reject the proposal; however, the State may at its sole option select, immediately after proposal opening, one copy to be used as the Master Copy.

2.3.4.7 Withdrawal and Resubmission/Modification of Proposals

A Bidder may withdraw its Final Proposal at any time prior to the proposal submission time specified in <u>Section 1.5 Key Action Dates</u> by submitting a written notification of withdrawal signed by the Bidder authorized in accordance with **2.3.4.5 Signature of Proposal.** The Bidder may submit a new or modified proposal prior to the proposal submission time. Modification offered in any other manner, oral or written, will not be considered.

2.3.5 Rejection of Proposals

The State may reject any or all proposals and may waive any immaterial deviation or defect in a proposal. The State's waiver of any immaterial deviation or defect shall in no way modify the RFP documents or excuse the Bidder from full compliance with the RFP specifications if awarded the contract.

2.3.6 Evaluation and Selection Process

2.3.6.1 General

Proposals will be evaluated according to the procedures contained in *Section 9*: **Evaluation and Selection**.

2.3.6.2 Evaluation Questions/Site Visits

During the evaluation and selection process, the State may desire the presence of a Bidder's representative for answering specific questions, orally and/or in writing. Additionally, Bidders may be required to participate in interviews, site-visits and/or product demonstrations to support and clarify their proposals. The State will make a reasonable attempt to schedule each presentation at a time and location that is agreeable to the Bidder. Failure of a Bidder to interview or permit a site visit on the date scheduled may result in rejection of the Bidder's proposal.

2.3.6.3 Proof of Concept (POC) Demonstration

Bidders may be required to demonstrate to the Evaluation Team the proposed solution functionality at a Proof of Concept (POC) demonstration. This demonstration will occur prior to final selection to verify the claims made in the apparent selected Bidder's (the Bidder with the highest Combined Proposal Score, calculated as described in *Section 9*: **Evaluation and Selection**) responses to requirements, corroborate the evaluation of the Bidder's proposal, and to confirm that the Bidder's solution is operational. The apparent selected Bidder will be required to demonstrate their proposed solution to the Evaluation Team, prior to final selection and contract award. The Bidder conducting the POC Demonstration must be prepared to demonstrate how the requirements specified in this RFP are met using a production-like system (as described in *Section 10:* **Proof of Concept (POC) Demonstration**), and to field questions from the

Evaluation Team. Members of the Evaluation Team will sign confidentiality agreements, as necessary. The Bidder must make all arrangements for demonstration facilities at no cost to the State. The location of the POC Demonstration will be in Sacramento, California. The State reserves the right to determine whether or not a demonstration has been successfully passed.

2.3.6.4 Errors in the Final Proposal

An error in the Final Proposal may cause the rejection of that bid; however, the State may at <u>its sole option</u> retain the proposal and make certain corrections.

In determining if a correction will be made, the State will consider the conformance of the proposal to the format and content required by the RFP, and any unusual complexity of the format and content required by the RFP.

(1) If the Bidder's intent is clearly established based on review of the complete Final Proposal submittal, the State may at its sole option correct an error based on that established intent.

(2) The State may at its sole option correct obvious clerical errors.

(3) The State may at its sole option correct discrepancy and arithmetic errors on the basis that if intent is not clearly established by the complete proposal the Master Copy shall have priority over additional copies. The total price of unit-price items will be the product of the unit price and the quantity of the item. If the unit price is ambiguous, unintelligible, uncertain for any cause, or is omitted, it shall be the amount obtained by dividing the total price by the quantity of the item.

(4) The State may at its sole option correct errors of omission, and in the following four situations, the State will take the indicated actions if the Bidder's intent is not clearly established by the complete bid submittal.

    (a) If an item is described in the narrative and omitted from the cost data provided in the proposal for evaluation purposes, it will be interpreted to mean that the item will be provided by the Bidder at no cost.

    (b) If a minor item is not mentioned at all in the Final Proposal and is essential to satisfactory performance, the proposal will be interpreted to mean that the item will be provided at no cost.

    (c) If a major item is not mentioned at all in the Final Proposal, the proposal will be interpreted to mean that the Bidder does not intend to supply that item.

    (d) If a major item is omitted, and the omission is not discovered until after contract award, the Bidder shall be required to supply that item at no cost.

(5) If a Bidder does not follow the instructions for computing costs the State may reject the proposal or at its sole option, re-compute costs based on the instructions contained in this RFP.

2.3.6.5 Award of Contract

Award of contract, if made, will be in accordance with *Section 9*: **Evaluation and Selection** to a responsible Bidder whose Final Proposal complies with all of the requirements of the RFP documents and any addenda thereto, except for such immaterial defects as may be waived by the State, upon a successful Proof of Concept (POC) Demonstration (see *Section 10*: **Proof of Concept (POC) Demonstration**). Award, if made, will be made within three hundred sixty five (365) days after the scheduled date for Contract Award specified in <u>Section 1.5 Key Action Dates</u>;

however, a Bidder may extend the offer beyond three hundred sixty five (365) days in the event of a delay of contract award.

"~~The State reserves the right to determine the successful Bidder either on the basis of individual items or on the basis of all items included in its RFP, unless otherwise expressly provided in the State's RFP.~~ The State reserves the right to modify or cancel in whole or in part its RFP.

Unless the Bidder specifies otherwise in its proposal, the State may accept any item or group of items of any proposal.

Written notification of the State's intent to award will be made to all Bidders.

2.3.7 News Releases

Any publications or news releases relating to a contract resulting from this RFP shall not be made without **prior written approval** of the Procurement Official listed in Section 1.

2.3.8 Disposition of Proposals and Bids

All materials submitted in response to this RFP will become the property of the State of California and will be returned only at the State's option and at the Bidder's expense. The Master Copy shall be retained for official files and will become a public record after the <u>Department of Finance approval</u>. ~~date and time for Final Bid submission as specified in~~ <u>~~Section 1.5 Key Action Dates~~</u>~~. However, confidential financial information submitted in support of the requirement to show Bidder responsibility will be returned upon request.~~"

SECTION 3: EXISTING SYSTEM

3.1 Introduction

Public health is supported by an array of local, State, and Federal organizations. These partner organizations are further divided into functional units that support clinical, health department, laboratory, disease program, and other operational divisions[1]. California's public health system includes a network of people, information systems, organizations, and public health processes focused on the health of the State's population. The California Department of Health Services (CDHS) administers the public health system in California at the State level. Sixty-one local health departments (LHD) – comprising the 58 counties and the cities of Berkeley, Long Beach, and Pasadena – manage the public health system at the local level.

The CDHS, through the Division of Communicable Disease Control (DCDC), is responsible for investigating and controlling communicable diseases and conditions in the State, working in partnership with local, national, and international health officials, health care providers, and the public to monitor health trends. Through this monitoring process, the State is able to identify and investigate existing and potential health problems, develop and implement prevention strategies, conduct research, provide education and training, and formulate and advise on public health policy.

While there are many surveillance strategies, disease reporting originating from health care providers and laboratories is at the core of surveillance. State and local health departments rely on disease reports from clinicians and laboratories to rapidly identify and respond to outbreaks and other communicable disease problems.

3.1.1 Business Authority
Currently, disease reporting is mandated by state legislation or regulation at the state level. In California, the California Code of Regulations, Title 17, Section 2500 requires physicians to report incidents of specific diseases or conditions to the LHD in the jurisdiction where the patient resides. Section 2505 of Title 17 lists a subset of diseases that must be reported by laboratories to the LHD of the referring physician.

3.2 Current Business Processes

3.2.1 Introduction

Providing effective disease surveillance throughout the State requires cooperation between State and local public health stakeholders. While DCDC administers the State's disease surveillance programs, the LHDs manage the day-to-day surveillance, case management, and public health intervention activities. The LHDs use a variety of systems, and technical sophistication to process information. It is important to have consistent reporting across LHDs. Although physicians follow a similar process for reporting notifiable diseases, the focus of the descriptions in this section relate to laboratory reporting. The participants in the laboratory disease reporting and surveillance process are described below and a description of their activities is described in a subsequent section.

3.2.2 Participants

The participants of the laboratory-based disease reporting and surveillance process include:

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[1] Centers for Disease Control and Prevention. "Notice of Cooperative Agreement Award, Public Health Information Technology Functions and Specifications." February 8, 2002.

1. Private (Hospital), Commercial and Public Health Laboratories

Laboratories are responsible for reporting over 25 named conditions, as well as any outbreaks of unusual diseases, within a specified timeframe of identifying the disease. Laboratories report these specific conditions to the LHD, based on the location of the physician's office. The laboratory report may be submitted to the appropriate LHD by various means including a phone call, facsimile, or mail.

2. Local Health Departments

The LHDs are responsible for the day-to-day disease management activities of patients. Once a LHD receives a laboratory disease report for a suspected or confirmed case, it notifies the appropriate public health staff to manage and track the case. In addition, the LHDs report disease case information to the State. The primary sources of information are the laboratory disease report and the physician report.

3. California Department of Health Services, Division of Communicable Disease Control (DCDC)

There are six branches within DCDC that play a role in the laboratory disease reporting process. They are:

- Microbial Disease Laboratory - MDL
- Viral and Rickettsial Disease Laboratory - VRDL
- Sexually Transmitted Disease – (STD) Control Branch
- Tuberculosis - (TB) Control Branch
- Immunization Branch - IZB
- Infectious Disease Branch – IDB

4. Centers for Disease Control and Prevention

The Centers for Disease Control and Prevention (CDC) is recognized as the lead federal agency for public health in the United States. California submits information on reportable diseases to the CDC on a weekly basis.

3.2.3 Business Processes

3.2.3.1 Business Process Summary

A summary of the reporting process is illustrated in Figure 3.1. A detailed description of the process follows after the summary illustration.

Figure 3.1: *Current Disease Reporting Process*
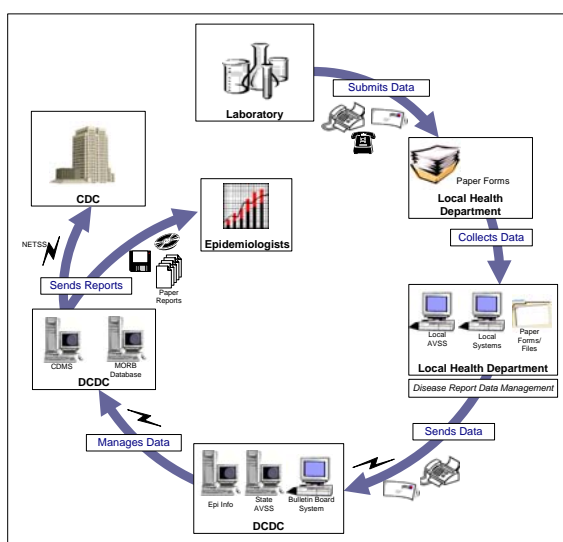
3.2.3.2 Submit Data

California has a dual reporting system for communicable diseases. Both health care providers and laboratories are required to report a case, or suspected case, of notifiable diseases to public health officials. California Code of Regulations (CCR), Title 17, §2500, requires health care providers to report over 80 named conditions, as well as any outbreaks of unusual diseases. CCR, Title 17, §2505, requires laboratories to report over 25 named conditions, as well as any outbreaks of unusual diseases. The laboratories are mandated to report directly to the LHD in the jurisdiction where the physician's office resides. The regulations list the reportable communicable diseases, the timeframe for reporting (from one hour up to one week) and the means (by phone, facsimile, mail, e-mail) depending on the disease category. CCR, Title 17, § 2505 includes two categories of laboratory reporting based on whether or not a disease agent is considered a high-level bioterrorism candidate. The first category contains seven high-level bioterrorism disease candidates (e.g., anthrax, plague, smallpox). Laboratories are to notify a State laboratory within one hour of receiving a specimen and report positive test results to the LHD within one hour after notifying the health care provider. The second category of laboratory reporting requires laboratories to notify the appropriate LHD within one working day from the time that the health care provider who submitted the specimen receives notification.

Laboratory reports that are submitted to the LHD must include the following information:

- Date the specimen was obtained

- Patient identification number

- Specimen accession number or other unique specimen identifier

- Laboratory findings for the test performed

- Date that any positive laboratory findings were identified

- Name, gender, address, telephone number, and age or date of birth of the patient

- Name, address, and telephone number of the provider who ordered the test

### 3.2.3.2.1 Private (Hospital) Laboratories

Private or hospital clinical laboratories are those that are associated with a hospital enterprise. They provide laboratory result reports to LHDs on both in-hospital patients and outpatients that are referred to them by physicians with ordering privileges assigned by that enterprise. The majority of these laboratories have Laboratory Information Systems (LIS) that are typically purchased from a vendor specializing in this type of software application. The LIS provides for the electronic receipt and storage of patient demographic, laboratory orders, and test results. They are also capable of transmitting order and result transactions to other clinical and hospital information (HIS) systems. While these applications are able to transmit message transactions, often using HL7 formats, to LHDs, there has not been, until recently, a significant effort to support this type of interfacing. Figure 3.2, below, illustrates the current disease report workflow utilized by private (hospital) and commercial laboratories.

3.2.3.2.2 Commercial Laboratories

California Commercial Laboratories
The commercial laboratories in California utilize a wide variety of LIS applications to maintain information on specimens and results. The standard LIS product used by commercial laboratories tracks specimens from collection to results reporting. The LIS are written in a variety of programming languages with varying technological capabilities. To meet mandated reporting requirements, a majority of these laboratories complete a paper form and generally either mail or fax the disease report to the LHDs. While LHDs use automated systems to generate the disease reports, there exists little or no automation of the process to get the information to the LHD.

Figure 3.2: *Private Hospital and Commercial Laboratory Reportable Disease Data Flow*
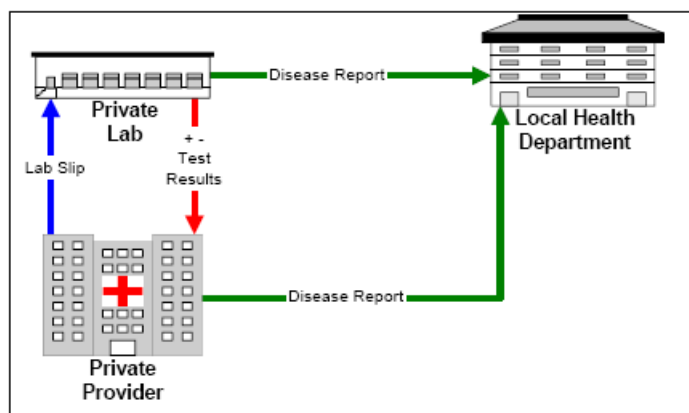
Out of State Commercial Laboratories
While private providers primarily send patient specimens to a local laboratory, sometimes services and laboratories outside of California are utilized. In this instance, the reporting

process differs from that of in-state laboratories. Out-of-state laboratories provide the analysis of the specimen and send positive and negative results to the healthcare provider. Positive test results are reported to CDHS and then forwarded to the appropriate LHD. The locality of the provider who first submitted the specimen determines the specific LHD.

3.2.3.2.3 Public Health Laboratories

Public health laboratories differ dramatically in size, structure, and range of services. With the exception of Los Angeles County, California's public health laboratories process significantly fewer laboratory tests in comparison to the commercial laboratories. Being relatively small laboratories, most do not have sophisticated laboratory information systems. Consequently, most public health laboratories are still using paper records for much of their activity[2]. Patients tested at public clinics, often co-located with LHDs, have tests performed at these public health laboratories. The public health laboratory reports both positive and negative results to the LHD. The reporting requirements for these laboratories are minimal as they often share information systems.

As most LHDs receive hard copy reports from laboratories via mail or fax, the current process has been adequate for reporting health conditions after the fact, but has become increasingly marginal for identifying new outbreaks of disease or other conditions.

Figure 3.3: *Public Health Laboratory Reportable Disease Data Flow*
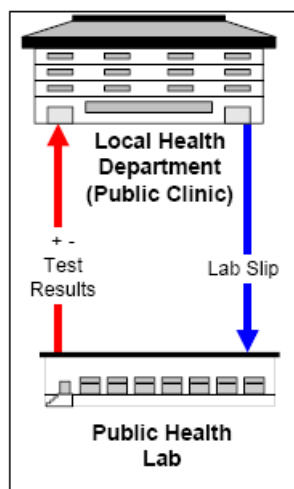
3.2.3.3 Collect Data

LHDs have the responsibility to oversee communicable disease control within their jurisdiction. Notifiable disease reports may trigger epidemiological and laboratory investigations to identify such things as the source of the disease, or appropriate control and prevention measures. LHDs use the disease report information and subsequent investigations to provide the appropriate public health assistance to individuals and their community.

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[2] The Lewin Group "Public Health Laboratories and health System Change." Department of Health and Human Services October 1997

The LHDs store the disease report and investigation data in a variety of formats, but most use a combination of paper-based files and information systems. The current information systems range from systems provided by the State, such as the Automated Vital Statistics System (AVSS), to locally-developed information systems (such as simple Microsoft Excel spreadsheets and Access databases) to more complex case management systems).

3.2.3.4 Send Data
Once a case of a reportable disease is confirmed, the LHDs report the information to DCDC in one of three ways:

1. Using AVSS[3]. Primarily, LHDs communicate morbidity data to the State using AVSS. While AVSS was designed primarily to automate birth and death certificate production, it has been modified to collect data on the State's reportable communicable diseases. Staff at the LHD receive the report for reportable diseases from laboratories (except for Human Immunodeficiency Virus (HIV) and Acquired Immune Deficiency Syndrome (AIDS) disease reports, which have a unique reporting process) and enter confirmed disease reports into AVSS. On a weekly basis, the State installation of AVSS automatically connects, via modem, to each of the local AVSS installations to retrieve new morbidity data.
2. Hardcopy disease reports by mail or facsimile[4]. Low-incidence or low-population LHDs do not have direct access to AVSS. These LHDs mail or fax the disease case reports to DCDC staff. Staff then enters the disease report data into the State instance of AVSS. Summary disease report data is then entered into the Epi Info system.
3. Use an electronic bulletin board (BBS)[5]. A small number of LHDs extract morbidity information from their internal systems to be electronically updated for the State's reporting to the CDC. The files are submitted to the State via an electronic bulletin board system (BBS).

Figure 3.4: *Sending Disease Reports*
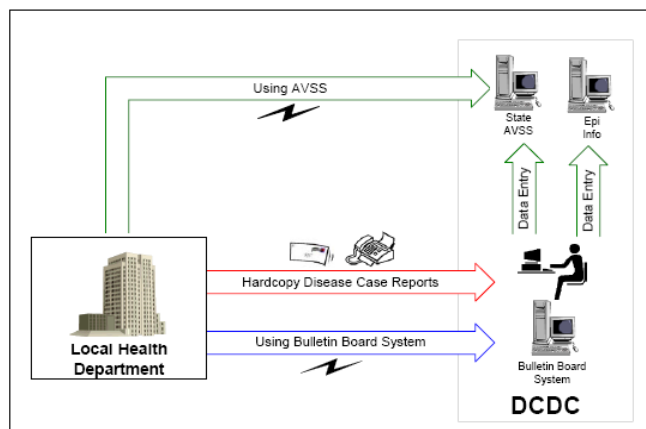
In sum, these three key activities comprise the reporting processes used by the LHDs, and the State to collect surveillance information from laboratories on a statewide basis to report on notifiable diseases. These current processes rely upon a multitude of manual and automated processes which potentially inhibits the timeliness and completeness of the reporting.

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[3] 45 LHDS use AVSS

[4] 12 LHDs mail or fax CMR forms

[5] 4 LHDs submit CMR data via an electronic bulletin board system

3.2.4 Technical Environment

There is currently no state ELR production environment -- no electronic information is transmitted from local clinical laboratory stakeholders to the Department as part of an on-going program. Within some local health jurisdictions, however, some county laboratory information is transmitted to respective public health departments for syndromic disease surveillance and case management purposes.

3.2.5 Existing Infrastructure Environment

3.2.5.1 Hardware and Software Standards

All equipment procurement and software must comply with CDHS IT hardware and software standards (http://itsd.int.dhs.ca.gov/ei/standards/pdf/DHSHardwareSoftwareStandards.pdf). In Section 3, the Network Server Technology Standard describes important server performance and configuration requirements.

3.2.5.2 Web-based Application Architecture Standards and Processes

The CDHS standard application development architecture (http://itsd.int.dhs.ca.gov/ei/standards/pdf/Application%20Architecture%20V3.0.pdf) contains details about the standard architecture, technologies, database conventions, and required presentation. This document includes the standard set of support services defined and created by the Information Techology Services Division (ITSD) to support CDHS business functions, and is intended to identify best practices, procedures, and processes to allow developers to create applications that are efficient, secure, and maintainable.

3.2.5.3 Network Infrastructure and Topology

CDHS has implemented a wide area network (WAN) to support many applications required by the State of California. Within this network, there are three different security models supporting the Electronic Data Processing (EDP) needs of the department. These models, or zones, are referred to as Extranet, Intranet and Internet, and each provides a unique security profile, allowing appropriate access and protection to data and applications.

3.2.6 Recognized Problems

Prior to the CDC recognition of the need for PHIN, CDHS identified the need for additional surveillance capabilities for disease tracking and emergency notification. In 1996, CDHS convened the Electronic Laboratory-based Reporting Task Force (ELRTF), consisting of representatives from CDHS (laboratorians, epidemiologists, and information technologists), clinical laboratories, public health laboratories and software developers, to plan and coordinate electronic laboratory reporting (ELR) efforts in California.

ELRTF identified several conditions within the current process that potentially created delays in information processing and increased the risk of reporting error. These conditions included:

1. Limited information technology and systems are available to public health staff to collect and process disease data. The current process does not take advantage of current technology and limits staff's ability to process increasing amounts of information.
2. Current methods for collecting information about communicable disease are outdated. The paper-intensive data collection methods are burdensome, time-consuming, redundant, and error prone.
3. Health care providers and laboratories are not reporting information about notifiable disease conditions in a consistent manner. The paper-intensive process impedes timely and accurate

reporting of communicable diseases. Additionally, laboratories have little incentive to report diseases to the LHDs, and the inefficient processes that exist for reporting make such more difficult for the laboratories.
4. The State's disease reporting methods and formats are not standardized. Both LHD and State surveillance staffs must contend with a variety of input formats (electronic and paper-based) and maintenance of data.   In addition, the existing systems do not meet the CDC's PHIN standards and specifications.

To address these issues, DCDC initiated the ELR project which is intended to improve the legally required reporting of communicable disease laboratory reporting under Title 17 of the California Code of Regulations.

SECTION 4: CONCEPTUAL SOLUTION

4.1 Introduction

The overall objective of the ELR application is to enhance and strengthen State and local disease surveillance capacity and promote public health, by providing a mechanism for CDHS to collect and manage laboratory data more efficiently and effectively. The proposed solution for the electronic submission of laboratory reports is a Commercial Off-the-Shelf (COTS)/Modifiable Off-the-Shelf (MOTS) system. The solution consists of a web-based application and back-end database that will support laboratory reporting and data management, to be integrated with Web-CMR (*refer to companion RFP 07-65623*).

4.2 Conceptual Solution Functions

The system will improve the State's ability to collect more complete and timely surveillance information from laboratories on a statewide basis, and will be integrated with Web-CMR (*refer to companion RFP 07-65623)* to increase the efficiency of existing surveillance activities and the early detection of public health events.

The solution will:

- Provide an automated means of laboratory disease reporting and notification with a single, statewide system, by allowing for web entry of laboratory disease report forms and electronic messaging of laboratory disease report data from laboratory sources.

- Provide LHD and State users access to reported data, by integration with Web-CMR, described within the companion RFP 07-65623

4.3 Conceptual Solution Architecture

Figure 4.1 illustrates the conceptual architecture of the proposed solution anticipated to be housed within the CDHS IT infrastructure.

Figure 4.1: *Conceptual Solution Architecture*
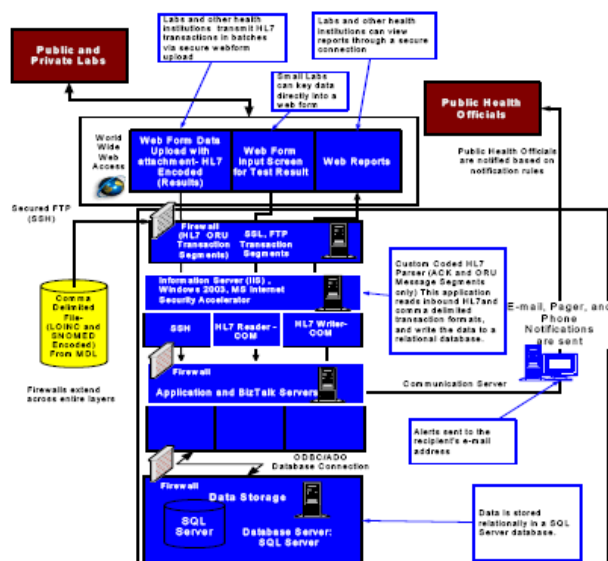
4.4 Conceptual Solution Hardware

The hardware architecture of the proposed production environment will require a number of servers. Other required environments (Testing, Staging, and "Hot Fix") necessary to support the ongoing maintenance and operation will necessitate an additional subset of the above system components. The specific hardware configuration will be determined upon selection of the solution vendor. The solution may use existing components of the current hardware infrastructure.

4.5 Conceptual Solution Technical Platform

If the solution is a Microsoft® supported solution, then the hardware operating system software will be the current versioning of Microsoft Windows® IIS®, SQL®, and ISA® or a later version complementing the current technology infrastructure. The system will operate within the CDHS's existing network infrastructure.

4.6 Conceptual Solution Integration Issues

The system will be required to interface with a solution specified in the Web-CMR project defined in RFP 07-65623. For a possible alerting feature provided in the solution, integration with a Health Alert Network available through a web service may be required.

Message encoding services to LOINC, SNOMED, and PHIN standards may require integration with commercial messaging engines such as the BizTalk® server (e.g., integration broker) currently in place at CDHS.

4.7 Conceptual Solution Technical Interfaces

The proposed solution utilizes a batch import feature through secure File Transport Protocol (S-FTP) to import data from laboratories incorporating either Laboratory Information Systems (LIS) or Laboratory Information Management Systems (LIMS). This import feature is designed to be flexible and provide the ability to import new data sources as the need arises from the multitude of prospective public health and private laboratories around the state. Other technical interfaces will be supplied or used as web services through application program interfaces (API).

SECTION 5: ADMINISTRATIVE REQUIREMENTS

5.1 Introduction

In addition to meeting the Business Requirements of this RFP (07-65624), Bidders must adhere to all of the Administrative Requirements of this RFP to be responsive. Each Administrative Requirement is a Mandatory Requirement.   These include the schedule specified in <u>Section 1.5 Key Action Dates</u>, the rules described in *Section 2*: **Rules Governing Competition**, the completion of the cost sheets specified in *Section 7:* **Cost**, the proposal format specified in *Section 8:* **Proposal Format**, and the requirements of this section.

Responses to the requirements in this section, marked as <**AR#**>, must be included in Bidder's proposal, Volume 1. Bidders must meet and adhere to all of the administrative requirements included in this RFP. The Administrative Requirements Response Matrix (**Exhibit 5-A**) must be completed and submitted as part of the Bidder's Draft Proposal and Final Proposal. All administrative requirements are Mandatory. If a Bidder fails to comply with an Administrative Requirement, the Bidder will be deemed non-responsive, and will be excluded from further evaluation. Failure to identify the Bidder's intention to fulfill the requirement may result in a determination that a material defect exists and result in a rejection of the Bidder's proposal.

5.2 Web-CMR & ELR Proposal Submission

The State desires a seamless integration between the functionality of the ELR system proposed in this RFP, and the functionality of the Web-Confidential Morbidity Report (Web-CMR) system proposed in the companion Web-CMR RFP (07-65623). DCDC expects that this can best be accomplished by having a single Vendor provide both systems.

> **AR1:** The Bidder must deliver to DCDC a proposal in response to this ELR RFP (07-65624) *and* a proposal in response to the companion Web-CMR RFP (07-65623).The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR1.

5.3 Bidder Responsibility

Prior to award of the contract, the State must be assured that the selected Bidder has all of the resources to successfully perform under the contract. This includes, but is not limited to, personnel in the numbers and with the skills required, equipment of appropriate type and in sufficient quantity, financial resources sufficient to complete performance under the contract, and experience in similar endeavors. If, during the evaluation process, the State is unable to assure itself of the Bidder's ability to perform under the contract the State has the option of requesting from the Bidder any information that the State deems necessary to determine the Bidder's responsibility. If such information is required, the Bidder will be notified and will be permitted approximately five (5) working days to submit the information requested.

> **AR2:** The Bidder must provide the State with sufficient information to allow the State to confirm the Bidder's ability to perform successfully under the contract. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR2.

> **AR3**: The Bidder must maintain, as required by State law, a valid Workers' Compensation Insurance Policy for all employees engaged in the performance of this contract. The Bidder must agree to provide satisfactory evidence thereof at the time of proposal submittal, and at any time the State may request. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR3.

5.3.1 Performance Bond Requirement

The successful Bidder (Prime Contractor) must furnish to the State within twenty-one (21) days of contract award, at no additional cost to the State, a faithful Performance Bond acceptable to the Department of Public Health, in a sum not less than one-half of the total amount payable under the contract. The bond must be from an admitted A or A- surety insurer, must guarantee Contractor's compliance with the terms of the contract, and must be made payable to the State of California, Department of Public Health, Division of Communicable Disease Control.

A letter of bondability must be included in Volume 1, Response to Requirements and in Volume 3, Cost Data. The letter included in Volume 1 must only include the percentage of the overall bid to be covered (**the bid amount must <u>not</u> be included in Volume 1**). The letter included in Volume 3 should include the percentage and the amount of the overall bid amount.

The Performance Bond must be maintained in force throughout the life of the resultant contract, including any extensions.

> **AR4:** Bidder agrees to provide a Performance Bond of an amount not less than one-half of the total amount payable under the contract within 21 days of contract award. Bidder agrees to submit a letter of bondability that conveys the percentage of total costs covered by the bond, not overall dollar value, in Volume 1, Response to Requirements. Bidder also agrees to submit a letter of bondability that conveys the percentage of total costs as well as the overall dollar value in the Cost Section of the Final Proposal (Refer to Volume 3, Cost Data). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR4.

5.3.2 Vendor Certifications

AR5. Bidders must provide in their response to this RFP a completed Vendor Certifications Form (**Exhibit 5-B**), listing all corporate certifications or accreditations they hold. These certifications or accreditations include but are not limited to American National Standards Institute (ANSI), Institute of Electrical and Electronics Engineers (IEEE), and/or International Standardization Organization (ISO). Bidders must submit the Vendor Certifications Form (**Exhibit 5-B**) with the Final Proposal. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR5.

5.3.3 Vendor Experience

AR6: Bidders must provide the name(s) and number of jurisdiction(s) (Local, State, and/or Federal) currently utilizing the solution proposed in response to this RFP. Bidders must complete the Vendor Experience Form (**Exhibit 5-C**) with the Final Proposal. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR6.

5.3.4 Customer In-Use Requirement

Although the State does not expect to install a solution identical to one in productive use elsewhere, it wants to avoid becoming a "beta site" for a substantially new technology product. The objective of the Customer In-Use Requirement is to protect the State from being an experimentalist for new software that has no record of proven performance, and to allow time for the Bidder to correct defects that could prevent new equipment and software from performing correctly in support of State programs. The State will not consider exceptions to the Customer In-Use Requirement.

> **AR7:** The State requires that each equipment and software component proposed as part of the system solution must have been installed, implemented and operating in a production

environment, in substantially the conformation bid, for a paying customer external to the Bidder's organization, for at least 6 months prior to bid submission. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR7.

5.3.5 Customer References

The purpose of the Customer Reference requirement is to provide the State the ability to verify the claims made in the Bidder's proposal. Customer References will be contacted at the State's discretion. The State also reserves the right to contact additional known customers. Customer References must include at least one (1) customer meeting the Customer In-Use Requirement (AR7). Information provided on the Customer Reference form must include the name and address of the organization, and the name and telephone number of a contact person at the organization. The original and final project budgets for each Customer Reference, and the original and final project schedules for each Customer Reference must also be included on the Customer Reference form. If the project is on-going, Bidders must provide estimated final project budgets and schedules.

AR8: The Bidder must provide a list of customers who presently have the proposed software implemented and operating. The list must include at least one (1) customer meeting the Customer In-Use requirement from AR7. In each case, the name and address of the organization and the name and telephone number of a contact person at that organization must be listed. The Bidder must also provide the original budget and the final (or estimated final) budget, and the original schedule and the final (or estimated final) schedule. Bidders must complete and submit the Customer Reference form with the proposal (**Exhibit 5-D**). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR8.

5.3.6 Project Organization

AR9: Bidders must provide a Project Team organizational chart; resumes of and two (2) or more references for principal personnel; and description of the roles and responsibilities of Project Team members, including any identified subcontractors. Additionally, Bidders must complete the Project Team Experience matrix (**Exhibit 5-E**). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR9.

5.3.7 Subcontractor Requirements

AR10: Bidders must document in their response to this RFP, any work that is to be provided by subcontractors. Bidders must submit a list of proposed subcontractors (**Exhibit 5- F**). References and resumes for any proposed subcontractor must also be submitted. There must be written agreement from the State prior to the replacement or substitution of any subcontractor. The State reserves the right to reject any subcontractor on the proposed subcontractor list. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR10.

AR11: Any subcontractor that the Bidder chooses to use to fulfill the requirements of this RFP, and which is expected to receive more than ten (10) percent of the value of the contract, must also meet all Administrative, Technical, and Business Requirements of this RFP as applicable. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR11.

The State requires that a Bidder submitting a proposal that results in the award of a contract will be considered the "Prime Contractor". The selected Prime Contractor must accept full responsibility for coordinating and controlling all aspects of the contract, including support or activities to be performed by any subcontractors. The Prime Contractor will be the sole point of contact with the State relative to contract performance.

AR12: Bidder must agree to accept full Prime Contractor responsibility for coordinating and controlling all aspects of the contract and any subcontractors. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR12.

5.4 Payee Data Record

AR13: The Bidder's final proposal must contain a signed Payee Data Record, STD. 204 (http://www.documents.dgs.ca.gov/osp/pdf/std204.pdf). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR13.

5.5 Prime Contractor Requirements

5.5.1 Project Structure

AR14: The State requires that the Bidder provide a deliverable-based solution. Payment to the contract will be based on deliverables identified within the Bidder's proposal. A high-level example of deliverables shall include, but is not limited to the following:

- Business Requirements Verification (Traceability Matrix)
- Project Schedule
- Implementation Plan
- Training Plan and Materials
- Migration Plan
- Transition Plan
- Support Plan
- Disaster Recovery Plan/Operational Recover Plan
- System Configuration
- Hardware/Software
- Testing
- Deployment of ELR
- Training
- Support

The Bidder must check "**Yes"** on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR14.

5.5.2 Contract Amendments

AR15: Each contract executed as a result of this RFP must be able to be amended by mutual consent of the State and the Prime Contractor. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR15.

5.5.3 Budget Contingency Clause

AR16: It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the work identified in this Agreement, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to the Prime Contractor or to furnish any other considerations under this Agreement and the Prime Contractor shall not be obligated to perform any provisions of this Agreement. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either: cancel this Agreement with no liability occurring to the State, or offer an Agreement Amendment to the Prime Contractor to reflect the reduced amount. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR16.

5.5.4 Retention of Payment

AR17: The State shall retain from each invoice ten percent (10%) of that invoice, until acceptance of the ELR System. The retained amount shall be held and released only upon approval that the work has been satisfactorily completed and the ELR System has been accepted by the State. The Prime Contractor must submit a separate invoice for the retained amount. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR17.

5.5.5 Third-Party Software Licensing

The State recognizes that the Bidder may have integrated third party software into the proposed solution. All such software must be purchased by and licensed to the successful Bidder (Prime Contractor). The Prime Contractor shall hold all licenses and sub-license to DCDC for continual use with the Bidder's solution, until system acceptance. After system acceptance all software licenses shall pass automatically to the State consistent with State Model Information Technology Software Special Provisions Paragraph 1 [http://www.documents.dgs.ca.gov/pd/modellang/softwarespecial102103.pdf].

> **AR18:** The Bidder must agree to purchase, on behalf of the State, all other software required for the proposed solution. All software purchased by the Contractor for the project will be initially licensed to the Prime Contractor and sub-licensed to the State until Final System Acceptance. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR18.

5.5.6 Warranty/Service Level Agreements

The successful Bidder (Prime Contractor) shall provide the State with a one year warranty that the ELR system will perform all required functions and will operate in accordance with all requirements set forth in this RFP. The warranty period will begin upon system acceptance. The Prime Contractor shall respond timely to all requests made by State staff for assistance or repairs related to the ELR system during the warranty period. All costs incurred in keeping the ELR system operating properly during the warranty period will be the sole responsibility of the Prime Contractor. Any request for assistance or repair prior to the end of the warranty period will be completed by the Contractor at no cost to the State, regardless of whether the work performed by the Prime Contractor in response to those requests exceeds the warranty period.

> **AR19:** The Bidder must provide the State with a one year warranty that the ELR system will perform all required functions and will operate in accordance with all requirements set forth in this RFP, from the date of system acceptance. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR19.

Exhibit 5-A

Exhibit 5-A: *Administrative Requirements Response Matrix*

Each Administrative Requirement, from **Section 5:** **Administrative Requirements** of this RFP is listed below. Bidders must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance for each listed requirement.

AR#	Reference	Administrative Requirement	Yes	No
AR1	5.2	AR1: The Bidder must deliver to DCDC a proposal in response to this ELR RFP (07-65624) and a proposal in response to the companion Web-CMR RFP (07-65623).The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR1.	☐	☐
AR2	5.3	The Bidder must provide the State with sufficient information to allow the State to confirm the Bidder's ability to perform successfully under the contract. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR2.	☐	☐
AR3	5.3	The Bidder must maintain, as required by State law, a valid Workers' Compensation Insurance Policy for all employees engaged in the performance of this contract. The Bidder must agree to provide satisfactory evidence thereof at the time of proposal submittal, and at any time the State may request. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR3.	☐	☐
AR4	5.3.1	Bidder agrees to provide a Performance Bond of an amount not less than one-half of the total amount payable under the contract within 21 days of contract award. Bidder agrees to submit a letter of bondability that conveys the percentage of total costs covered by the bond, not overall dollar value, in Volume 1, Response to Requirements. Bidder also agrees to submit a letter of bondability that conveys the percentage of total costs as well as the overall dollar value in the Cost Section of the Final Proposal (Refer to Volume 3, Cost Data). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR4.	☐	☐
AR5	5.3.2	**AR5.** Bidders must provide in their response to this RFP a completed Vendor Certifications Form (**Exhibit 5-B**), listing all corporate certifications or accreditations they hold. These certifications or accreditations include but are not limited to American National Standards Institute (ANSI), Institute of Electrical and Electronics Engineers (IEEE), and/or International Standardization Organization (ISO). Bidders must submit the Vendor Certifications Form (**Exhibit 5-B**) with the Final Proposal. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR5.	☐	☐
AR6	5.3.3	Bidders must provide the name(s) and number of jurisdiction(s) (Local, State, and/or Federal) currently utilizing the solution proposed in response to this RFP. Bidders must complete the Vendor Experience Form (**Exhibit 5-C**) with the Final Proposal. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR6.	☐	☐

Exhibit 5-A

AR#	Reference	Administrative Requirement	Yes	No
AR7	5.3.4	The State requires that each equipment and software component proposed as part of the system solution must have been installed, implemented and operating in a production environment, in substantially the conformation bid, for a paying customer external to the Bidder's organization, for at least 6 months prior to bid submission. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR7.	☐	☐
AR8	5.3.5	The Bidder must provide a list of customers who presently have the proposed software implemented and operating. The list must include at least one (1) customer meeting the Customer In-Use requirement from AR7. In each case, the name and address of the organization and the name and telephone number of a contact person at that organization must be listed. The Bidder must also provide the original budget and the final (or estimated final) budget, and the original schedule and the final (or estimated final) schedule. Bidders must complete and submit the Customer Reference form with the proposal (**Exhibit 5-D**). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR8.	☐	☐
AR9	5.3.6	**AR9:** Bidders must provide a Project Team organizational chart; resumes of and two (2) or more references for principal personnel; and description of the roles and responsibilities of Project Team members, including any identified subcontractors. Additionally, Bidders must complete the Project Team Experience matrix (**Exhibit 5-E**). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR9.		
AR10	5.3.7	Bidders must document in their response to this RFP, any work that is to be provided by subcontractors. Bidders must submit a list of proposed subcontractors (**Exhibit 5- F**). References and resumes for any proposed subcontractor must also be submitted. There must be written agreement from the State prior to the replacement or substitution of any subcontractor. The State reserves the right to reject any subcontractor on the proposed subcontractor list. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR10.	☐	☐
AR11	5.3.7	Any subcontractor that the Bidder chooses to use to fulfill the requirements of this RFP, and which is expected to receive more than ten (10) percent of the value of the contract, must also meet all Administrative, Technical, and Business Requirements of this RFP as applicable. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR11.	☐	☐
AR12	5.3.7	Bidder must agree to accept full Prime Contractor responsibility for coordinating and controlling all aspects of the contract and any subcontractors. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR12.	☐	☐
AR13	5.4	The Bidder's final proposal must contain a signed Payee Data Record, STD. 204 (http://www.documents.dgs.ca.gov/osp/pdf/std204.pdf). The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR13.	☐	☐

Exhibit 5-A

AR#	Reference	Administrative Requirement	Yes	No
AR14	5.5.1	The State requires that the Bidder provide a deliverable-based solution. Payment to the contract will be based on deliverables identified within the Bidder's proposal. A high-level example of deliverables might include, but is not limited to the following: ▪ Business Requirements Verification (Traceability Matrix) ▪ Project Schedule ▪ Implementation Plan ▪ Training Plan and Materials ▪ Migration Plan ▪ Transition Plan ▪ Support Plan ▪ Disaster Recovery Plan/Operational Recover Plan ▪ System Configuration ▪ Hardware/Software ▪ Testing ▪ Deployment of ELR ▪ Training ▪ Support The Bidder must check "**Yes"** on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR14.	☐	☐
AR15	5.5.2	Each contract executed as a result of this RFP must be able to be amended by mutual consent of the State and the Prime Contractor. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR15.	☐	☐
AR16	5.5.3	It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the work identified in this Agreement, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to the Prime Contractor or to furnish any other considerations under this Agreement and the Prime Contractor shall not be obligated to perform any provisions of this Agreement. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either: cancel this Agreement with no liability occurring to the State, or offer an Agreement Amendment to the Prime Contractor to reflect the reduced amount. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR16.	☐	☐

Exhibit 5-A

AR#	Reference	Administrative Requirement	Yes	No
AR17	5.5.4	The State shall retain from each invoice ten percent (10%) of that invoice, until acceptance of the ELR System. The retained amount shall be held and released only upon approval that the work has been satisfactorily completed and the ELR System has been accepted by the State. The Prime Contractor must submit a separate invoice for the retained amount. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR17.	☐	☐
AR18	5.5.5	The Bidder must agree to purchase, on behalf of the State, all other software required for the proposed solution. All software purchased by the Contractor for the project will be initially licensed to the Prime Contractor and sub-licensed to the the State until Final System Acceptance. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR18.	☐	☐
AR19	5.5.6	The Bidder must provide the State with a one year warranty that the ELR system will perform all required functions and will operate in accordance with all requirements set forth in this RFP, from the date of system acceptance. The Bidder must check "**Yes**" on the matrix indicating compliance, or "**No**" on the matrix indicating non-compliance with AR19.	☐	☐

Exhibit 5-B

Exhibit 5-B: *Vendor Certification Form*

Indicate whether the Bidder's company holds the identified certifications, and if so, the date the certification or accreditation was effective. If applicable, complete the table with any unlisted certifications/accreditations Bidder's company holds, and provide the effective date.

Certification/Accreditation	Yes	No	Effective Date
American National Standards Institute (ANSI)	☐	☐	
Institute of Electrical and Electronics Engineers (IEEE)	☐	☐	
International Standardization Organization (ISO)	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	

Exhibit 5-C

Exhibit 5-C: *Vendor Experience Form*

Provide the name of each jurisdiction where the proposed solution has been implemented. Also provide the month and year for when the solution was first implemented at each jurisdiction.

Jurisdiction	Date

Total # of Jurisdictions utilizing proposed solution:

Exhibit 5-D

Exhibit 5-D: *Customer Reference Form*

Provide a list of customers who presently have the proposed software solution installed and operating, including a name and address of the organization using the proposed solution, and contact person at that location. Indicate which customer(s) meet(s) the Customer In-Use Requirement (AR5).   Indicate if the project is complete and, please provide the original and final (or estimated final) budget, and the original and final (or estimated final) schedule.

Customer Name:			
	Organization		**Contact Person**
Name:		**Name:**	
Street Address:		**Telephone:**	
City, State, Zip Code:		**In-Use Requirement:**	Yes/No
Project Status Information			
Project Complete:	Yes/No	**Comments:**	
Original Budget:		**Original Schedule:**	
Final Budget:		**Final Schedule:**	

Customer Name:			
	Organization		**Contact Person**
Name:		**Name:**	
Street Address:		**Telephone:**	
City, State, Zip Code:		**In-Use Requirement:**	Yes/No
Project Status Information			
Project Complete:	Yes/No	**Comments:**	
Original Budget:		**Original Schedule:**	
Final Budget:		**Final Schedule:**	

Customer Name:			
	Organization		**Contact Person**
Name:		**Name:**	
Street Address:		**Telephone:**	
City, State, Zip Code:		**In-Use Requirement:**	Yes/No
Project Status Information			
Project Complete:	Yes/No	**Comments:**	
Original Budget:		**Original Schedule:**	
Final Budget:		**Final Schedule:**	

Exhibit 5-E

Exhibit 5-E: *Project Team Experience Matrix*

Complete the Project Team Experience Matrix for each of the six (6) principal project team positions: (1) Project Manager, (2) Technical Lead/System Architect, (3) Lead Programmer/Analyst, (4) Database Specialist/Administrator, (5) Quality Assurance/Test Lead, and (6) Training Lead.

PROJECT TEAM EXPERIENCE MATRIX – PROJECT MANAGER

Proposed Resource Name:		Firm Representing:	
Certifications:	Years of Education Completed:		Degrees:

List skills and experiences that qualify the team member for the duties and responsibilities on this project for the proposed job classification. **ATTACH PERSONNEL RESUME TO THIS EXHIBIT.**

List one or more client references for a representative sample of work performed during the past five (5) years that is used to meet the requirements for the proposed job classification.

Client Name:		Project Name:	
Contact Name:		Contact Number:	
Role/Responsibility:		Dates:	Start:	End:
		Duration:	Yrs:	Months:

1. Was this system:	• Capable of supporting 2000 concurrent internal users?	Y ☐ N ☐
	• Web-based?	Y ☐ N ☐
	• PHIN compliant?	Y ☐ N ☐
	• Hosted at the Client's data center?	Y ☐ N ☐
	• A COTS package that was configured to meet specific requirements for the Client?	Y ☐ N ☐
	• Implemented elsewhere prior to Client's purchase of the solution?	Y ☐ N ☐
	• Implemented as a Statewide solution, consisting of autonomous counties/jurisdictions/ local health departments?	Y ☐ N ☐
2. Did this system use:	• MICROSOFT SQL Server or Oracle Database?	Y ☐ N ☐
	• Windows Server or UNIX/LINUX Operating System?	Y ☐ N ☐
	• An N-tier architecture?	Y ☐ N ☐
	• A secure interface(s) with any external (local heath departments/state/federal) disease surveillance systems?	Y ☐ N ☐
	• 2 factor authentication?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – PROJECT MANAGER

3. For this system, did you:		
	• Provide IT Project Management?	Y ☐ N ☐
	• Perform project planning, tracking, and reporting?	Y ☐ N ☐
	• Develop a detailed Project Schedule?	Y ☐ N ☐
	• Develop a Project Management Plan?	Y ☐ N ☐
	• Use Project Management Institute (PMI) PMBOK standards?	Y ☐ N ☐
	• Use IEEE system development documentation standards?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – TECHNICAL LEAD/SYSTEM ARCHITECT

Proposed Resource Name:			Firm Representing:		
Certifications:		Years of Education Completed:		Degrees:	

List skills and experiences that qualify the team member for the duties and responsibilities on this project for the proposed job classification.
ATTACH PERSONNEL RESUME TO THIS EXHIBIT.

List one or more client references for a representative sample of work performed during the past five (5) years that is used to meet the requirements for the proposed job classification.

Client Name:			Project Name:		
Contact Name:			Contact Number:		
Role/Responsibility:			Dates:	Start:	End:
			Duration:	Yrs:	Months:

1. Was this system:		
	• Capable of supporting 2000 concurrent internal users?	Y ☐ N ☐
	• Web-based?	Y ☐ N ☐
	• PHIN compliant?	Y ☐ N ☐
	• Hosted at the Client's data center?	Y ☐ N ☐
	• A COTS package that was configured to meet specific requirements for the Client?	Y ☐ N ☐
	• Implemented elsewhere prior to Client's purchase of the solution?	Y ☐ N ☐
	• Implemented as a Statewide solution, consisting of autonomous counties/jurisdiction/ local health departments?	Y ☐ N ☐
2. Did this system use:	• MICROSOFT SQL Server or Oracle Database?	Y ☐ N ☐
	• Windows Server or UNIX/LINUX Operating System?	Y ☐ N ☐
	• An N-tier architecture?	Y ☐ N ☐
	• A secure interface(s) with any external (local heath departments/state/federal) disease surveillance systems?	Y ☐ N ☐
	• Adhere to additional standards (security, protocol, etc.) provided by the Client?	Y ☐ N ☐
	• Multiple exclusive environments (configuration, testing, staging, production)?	Y ☐ N ☐
	• 2 factor authentication?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – TECHNICAL LEAD/SYSTEM ARCHITECT

3. For this system, did you:		
	• Lead the design, configuration and implementation of the technical infrastructure of the system?	Y ☐ N ☐
	• Follow IEEE/ISO 9000 standards?	Y ☐ N ☐
	• Lead in the transition and conversion of this system to a new environment?	Y ☐ N ☐
	• Lead in implementing all hardware components?	Y ☐ N ☐
	• Lead in implementing all software components?	Y ☐ N ☐
	• Lead in implementing all network components?	Y ☐ N ☐
	• Provide knowledge transfer of all technical information to the Client?	Y ☐ N ☐
	• Develop and provide a "Client specific" system administration manual to the Client?	Y ☐ N ☐
	• Develop and provide a "Client specific" operational/disaster recovery plan to the Client?	Y ☐ N ☐
	• Provide source code for code review by Client?	Y ☐ N ☐
	• Identify any subsequent changes to the source code prior to code reviews?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – LEAD PROGRAMMER/ANALYST

Proposed Resource Name:			Firm Representing:		
Certifications:		Years of Education Completed:		Degrees:	

List skills and experiences that qualify the team member for the duties and responsibilities on this project for the proposed job classification.
ATTACH PERSONNEL RESUME TO THIS EXHIBIT.

List one or more client references for a representative sample of work performed during the past five (5) years that is used to meet the requirements for the proposed job classification.

Client Name:			Project Name:		
Contact Name:			Contact Number:		
Role/Responsibility:			Dates:	Start:	End:
			Duration:	Yrs:	Months:

1. Was this system:		
	• Capable of supporting 2000 concurrent internal users?	Y ☐ N ☐
	• Web-Based?	Y ☐ N ☐
	• PHIN compliant?	Y ☐ N ☐
	• Hosted at the Client's data center?	Y ☐ N ☐
	• A COTS package that was configured to meet specific requirements for the Client?	Y ☐ N ☐
	• Implemented elsewhere prior to the Client's purchase of the solution?	Y ☐ N ☐
	• Implemented as a Statewide solution, consisting of autonomous counties/jurisdiction/ local health departments?	Y ☐ N ☐
2. Did this system use:	• MICROSOFT SQL Server or Oracle Database?	Y ☐ N ☐
	• Windows Server or UNIX/LINUX Operating System?	Y ☐ N ☐
	• An N-tier architecture?	Y ☐ N ☐
	• A secure interface(s) with any external (local heath departments/state/federal) disease surveillance systems?	Y ☐ N ☐
	• Adhere to additional standards (security, protocol, etc.) provided by the Client?	Y ☐ N ☐
	• Different/exclusive environments (configuration, testing, staging, production)?	Y ☐ N ☐
	• 2 factor authentication?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – LEAD PROGRAMMER/ANALYST

3. For this system, did you:		
	• Configure software components utilizing Client supplied standards?	Y ☐ N ☐
	• Integrate COTS and custom developed packages to meet customer requirements?	Y ☐ N ☐
	• Design and develop screens and forms supplied by Client?	Y ☐ N ☐
	• Develop and design standard reports and letters supplied by Client?	Y ☐ N ☐
	• Use any of the following Systems Development Life Cycle (SDLC) methodologies: Waterfall Model, Spiral Model, Iterative Development Models (e.g. Object Oriented, Fountain), Crystal Models, SCRUM Methodology, Extreme Programming	Y ☐ N ☐
	• Prepare systems design specifications and other SDLC deliverables?	Y ☐ N ☐
	• Follow IEEE system development standards?	Y ☐ N ☐
	• Chair and conduct JAD (Joint Application Design) sessions to clarify the Client's business requirements?	Y ☐ N ☐
	• Conduct code walk-thru prior to Client's code review?	Y ☐ N ☐
	• Conduct design walkthroughs?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – DATABASE SPECIALIST/ADMINISTRATOR

Proposed Resource Name:		Firm Representing:		
Certifications:		Years of Education Completed:	Degrees:	

List skills and experiences that qualify the team member for the duties and responsibilities on this project for the proposed job classification.
ATTACH PERSONNEL RESUME TO THIS EXHIBIT.

List one or more client references for a representative sample of work performed during the past five (5) years that is used to meet the requirements for the proposed job classification.
ONLY LIST PROJECTS FINISHED WITHIN THE LAST 5 YEARS, OR PROJECTS NOT YET COMPLETED

Client Name:		Project Name:		
Contact Name:		Contact Number:		
Role/Responsibility:		Dates:	Start:	End:
		Duration:	Yrs:	Months:

1. Was this system:	• Capable of supporting 2000 concurrent internal users?	Y ☐ N ☐
	• Web-Based?	Y ☐ N ☐
	• PHIN compliant?	Y ☐ N ☐
	• Hosted at the Client's data center?	Y ☐ N ☐
	• A COTS package that was configured to meet specific requirements for the Client?	Y ☐ N ☐
	• Implemented else where prior to the Client's purchase of the solution?	Y ☐ N ☐
	• Implemented as a Statewide solution, consisting of autonomous counties/jurisdiction/ local health departments?	Y ☐ N ☐
2. Did this system use:	• MICROSOFT SQL Server or Oracle Database?	Y ☐ N ☐
	• Windows Server or UNIX/LINUX Operating System?	Y ☐ N ☐
	• An N-tier architecture?	Y ☐ N ☐
	• A secure interface(s) with any external (local heath departments/state/federal) disease surveillance systems?	Y ☐ N ☐
	• Adhere to additional standards (security, protocol, etc.) provided by the Client?	Y ☐ N ☐
	• Multiple exclusive environments (configuration, testing, staging, production)?	Y ☐ N ☐
	• 2 factor authentication?	Y ☐ N ☐
	• Any methodology for data normalization?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – DATABASE SPECIALIST/ADMINISTRATOR

3. For this system, did you:	• Use any of the following Systems Development Life Cycle (SDLC) methodologies: Waterfall Model, Spiral Model, Iterative Development Models (e.g. Object Oriented, Fountain), Crystal Models, SCRUM Methodology, Extreme Programming	Y ☐ N ☐
	• Develop logical data models?	Y ☐ N ☐
	• Develop physical data structures?	Y ☐ N ☐
	• Develop Data Conversion Plans?	Y ☐ N ☐
	• Follow IEEE system development standards?	Y ☐ N ☐
	• Provide the Client with the ability to produce data dictionaries?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – QUALITY ASSURANCE/TEST LEAD

Proposed Resource Name:		Firm Representing:	
Certifications:	Years of Education Completed:		Degrees:

List skills and experiences that qualify the team member for the duties and responsibilities on this project for the proposed job classification.
ATTACH PERSONNEL RESUME TO THIS EXHIBIT.

List one or more client references for a representative sample of work performed during the past five (5) years that is used to meet the requirements for the proposed job classification.
ONLY LIST PROJECTS FINISHED WITHIN THE LAST 5 YEARS, OR PROJECTS NOT YET COMPLETED

Client Name:		Project Name:	
Contact Name:		Contact Number:	
Role/Responsibility:		Dates:	Start:	End:
		Duration:	Yrs:	Months:

1. Was this system:		
	• Capable of supporting 2000 concurrent internal users?	Y ☐ N ☐
	• Web-based?	Y ☐ N ☐
	• PHIN compliant?	Y ☐ N ☐
	• Hosted at the Client's data center?	Y ☐ N ☐
	• A COTS package that was configured to meet specific requirements for the Client?	Y ☐ N ☐
	• Implemented else where prior to Client's purchase of the solution?	Y ☐ N ☐
	• Implemented as a Statewide solution, consisting of autonomous counties/jurisdiction/ local health departments?	Y ☐ N ☐
2. Did this system use:	• MICROSOFT SQL Server or Oracle Database?	Y ☐ N ☐
	• Windows Server or UNIX/LINUX Operating System?	Y ☐ N ☐
	• An N-tier architecture?	Y ☐ N ☐
	• A secure interface(s) with any external (local heath departments/state/federal) disease surveillance systems?	Y ☐ N ☐
	• Adhere to additional standards (security, protocol, etc.) provided by the Client?	Y ☐ N ☐
	• Multiple exclusive environments (configuration, testing, staging, production)?	Y ☐ N ☐
	• 2 factor authentication?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – QUALITY ASSURANCE/TEST LEAD

3. For this system, did you:		
	• Use an independently recognized QA process such as that from the QA Institute, ISO 9000, IEEE, or Carnegie's Software Capability Maturity Model?	Y ☐ N ☐
	• Develop and implement a QA plan describing processes and standards to ensure quality of work products and the design, development, testing, and deployment processes?	Y ☐ N ☐
	• Develop and oversee the execution of the Project Test Plan to ensure that system requirements were successfully met?	Y ☐ N ☐
	• Utilize automated testing tools?	Y ☐ N ☐
	• Utilize automated tools to conduct performance testing?	Y ☐ N ☐
	• Utilize automated tools to conduct regression testing?	Y ☐ N ☐
	• Utilize automated tools to simulate production usage?	Y ☐ N ☐
	• Oversee and certify all deliverables prior to delivery of to Client for testing/review?	Y ☐ N ☐
	• Provide the Client a copy of the QA/change control processes used by your company?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – TRAINING LEAD

Proposed Resource Name:		Firm Representing:	
Certifications:		Years of Education Completed:	Degrees:

List skills and experiences that qualify the team member for the duties and responsibilities on this project for the proposed job classification.
ATTACH PERSONNEL RESUME TO THIS EXHIBIT.

List one or more client references for a representative sample of work performed during the past five (5) years that is used to meet the requirements for the proposed job classification.

Client Name:		Project Name:	
Contact Name:		Contact Number:	

Role/Responsibility:		Dates:	Start:	End:
		Duration:	Yrs:	Months:

1. Was this system:	• Capable of supporting 2000 concurrent internal users?	Y ☐ N ☐
	• Web-based?	Y ☐ N ☐
	• PHIN compliant?	Y ☐ N ☐
	• Hosted at the Client's data center?	Y ☐ N ☐
	• A COTS package that was configured to meet specific requirements for the Client?	Y ☐ N ☐
	• Implemented else where prior to Client's purchase of the solution?	Y ☐ N ☐
	• Implemented as a Statewide solution, consisting of autonomous counties/jurisdiction/ local health departments?	Y ☐ N ☐
2. Did this system use:	• MICROSOFT SQL Server or Oracle Database?	Y ☐ N ☐
	• Windows Server or UNIX/LINUX Operating System?	Y ☐ N ☐
	• An N-tier architecture?	Y ☐ N ☐
	• A secure interface(s) with any external (local heath departments/state/federal) disease surveillance systems?	Y ☐ N ☐
	• Adhere to additional standards (security, protocol, etc.) provided by the Client?	Y ☐ N ☐
	• Multiple exclusive environments (configuration, testing, staging, production)?	Y ☐ N ☐
	• 2 factor authentication?	Y ☐ N ☐

Exhibit 5-E

PROJECT TEAM EXPERIENCE MATRIX – TRAINING LEAD

3. For this system, did you:		
	• Provide non-technical training for client end-user trainers, help desk, and business analysts?	Y ☐ N ☐
	• Provide training for client technical staff covering design, construction and operation of the system?	Y ☐ N ☐
	• Provide training for client external customers via CBT, seminars, and group training sessions?	Y ☐ N ☐
	• Provide train-the-trainer training?	Y ☐ N ☐
	• Develop the project training plan and Client specific training materials?	Y ☐ N ☐
	• Conduct trainings utilizing a separate training environment?	Y ☐ N ☐
	• Conduct trainings utilizing production-like data?	Y ☐ N ☐
	• Conduct client specific training based on business requirements?	Y ☐ N ☐
	• Provide audience-tailored training to multiple audiences, ranging from technical to non-technical (e.g. end-users)?	Y ☐ N ☐

Exhibit 5-F

Exhibit 5-F: *Proposed Subcontractor List*

Provide the company name and contact information for the Primary Contact Person for all proposed subcontractors. Also, supply one (1) or more customer references for each proposed subcontractor, and indicate the names of resumes provided per subcontractor. Insert additional tables or sections to the provided tables as necessary to provide complete information.

Company Name:			
	Primary Contact Person		
Name:			
Street Address:			
City, State, Zip Code:			
Telephone			
	Customer Reference		
	Company Information		Contact Person
Name:		Name:	
Street Address:		Telephone:	
City, State, Zip Code:			
	Resumes Provided		
Name:		Name:	
Name:		Name:	

Company Name:			
	Primary Contact Person		
Name:			
Street Address:			
City, State, Zip Code:			
Telephone			
	Customer Reference		
	Company Information		Contact Person
Name:		Name:	
Street Address:		Telephone:	
City, State, Zip Code:			
	Resumes Provided		
Name:		Name:	
Name:		Name:	

SECTION 6: BUSINESS REQUIREMENTS

6.1 Introduction

This section of the RFP contains the business requirements for ELR. As the State desires that the ELR system be seamlessly integrated into the Web-CMR system, the ELR system must meet the technical requirements set forth in the Web-CMR RFP (07-65623). The State has determined that it is best to define its own needs, and the State will not tailor these needs to fit some solution a Bidder may have available; rather, the Bidder shall propose to meet the State's needs as defined in this RFP.

6.2 Mandatory Requirements

All requirements in this paragraph 6.2 are Mandatory. Each Mandatory Requirement is marked as type "**M**". To be considered responsive to this RFP, the Bidder must agree to meet every mandatory requirement.

Bidders must complete the tables contained with this Section, and include these in Volume 1 of the proposal, as indicated in *Section 7*: **Proposal and Bid Format**. Bidders must not edit or re-type any of the information contained within the tables – any attempt to do so will be considered an attempt to mislead the State, and will be handled in accordance with Section 2.2.3.4. **BIDDERS' RESPONSES MUST BE BASED ON SOLUTIONS THAT MEET THE CUSTOMER IN-USE REQUIREMENT (AR5), AND HAVE BEEN IN PRODUCTIVE USE 6 MONTHS OR LONGER PRIOR TO PROPOSAL SUBMISSION.** For each mandatory requirement in this section, the Bidder must check "**Yes**" indicating compliance with the requirement, or "**No**" indicating non-compliance with the requirement. A succinct explanation of how each requirement can or cannot be met must be included in the response for each requirement. Bidders must also indicate whether the system currently meets the requirement or if the system must be modified to meet the requirement. Please refer to **Appendix A**: **ELR Business Requirements** for additional information and clarification on the requirements contained within this Section. Each Mandatory Requirement that is required for the Proof of Concept (Demonstration) is indicated with a "**Y**" in the "Demo" column. As described in *Section 10*: **Proof of Concept (POC) Demonstration**, Bidders must be prepared to demonstrate to the Evaluation Team how the Bidder's proposed solution meets the indicated requirements.

6.2.1 Mandatory Business Requirements

#	Demo	Type (Pts)	Requirement	Provide a succinct explanation of how each requirement can or cannot be met. Indicate if the solution currently meets the requirement or must be modified	Compliance YES	Compliance NO
Mandatory ELR Business Requirements						
1.1.1.1	Y	M (200)	The System must provide for a method of web-based entry of laboratory test reports using forms for entry of specific patient, condition (e.g. reason for test, when available) and results information. All relevant laboratory information, required to meet legal mandates (California Code of Regulations, Title 17, Section 2505) and additional information consistent with needs for local reporting, disease registry data and other uses, must be collected and enforced through form validation and effective context sensitive help.		☐	☐
1.1.1.2	Y	M (200)	The System must provide the ability to receive, parse and discretely populate all elements contained in all required and conditional segments (when appropriate) within unsolicited electronic laboratory result messages that are compliant minimally with the current PHIN (HL7 v 2.5 Implementation Guide at the time of this writing) reference implementation standards as an ORU^R01 message type. The reference vocabulary for these messages is contained in the PHIN Vocabulary Access and Distribution System or PHIN VADS. In addition, the System must be fully compliant with the functional requirements and process flows detailed in PHIN's Connecting Laboratory System standards for the acceptance of results messages for laboratory testing by public health, hospital, clinic, commercial and reference laboratories. The System shall be updated to maintain compliance with published standards as they are enacted.		☐	☐

#	Demo	Type (Pts)	Requirement	Provide a succinct explanation of how each requirement can or cannot be met / Indicate if the solution currently meets the requirement or must be modified	Compliance YES	Compliance NO
~~1.2.2.3~~ **1.1.1.6**	Y	M (200)	The System should be able to track the following time elements related to specimen collection, submission and analysis: • The date/time the specimen was collected. Date final tests (e.g. follow-up, corrected, serial) were completed and reported or their status changed. (Example, OBR-24).		☐	☐

6.3 Desirable and Optional Business Requirements

Bidders must complete the tables contained with this Section, and include these in Volume 1 of the proposal, as indicated in **Section 7: Proposal and Bid Format**. Bidders must not edit or re-type any of the information contained within the tables – any attempt to do so will be considered an attempt to mislead the State, and will be handled in accordance with Section 2.3.4.4. **BIDDERS' RESPONSES MUST BE BASED ON SOLUTIONS THAT MEET THE CUSTOMER IN-USE REQUIREMENT (AR5), AND HAVE BEEN IN PRODUCTIVE USE 6 MONTHS OR LONGER PRIOR TO PROPOSAL SUBMISSION.** For each requirement in this section, the Bidder must check "**Yes**" indicating compliance with the requirement, or "**No**" indicating non-compliance with the requirement. A succinct explanation of how each requirement can or cannot be met must be included in the response for each requirement. Bidders must also indicate whether the system currently meets the requirement or if the system must be modified to meet the requirement. The Evaluation Team will review Bidder's responses to each desirable requirement and will award a score to each response. Desirable Requirements are marked with a Type "**D**", and Optional Requirements are marked with a Type "**O**". If a Bidder does not respond or does not adequately respond to a requirement, the Bidder will not be awarded any points for that requirement. Each of the Desirable and Optional Requirements that are required for the Proof of Concept (Demonstration) *if the Bidder checks "Yes" to indicate compliance with the requirement*, is indicated with a "Y" in the "Demo" column. As described in **Section 10: Proof of Concept (POC) Demonstration**, Bidders must be prepared to demonstrate to the Evaluation Team how the Bidder's proposed solution meets the indicated requirements.   Please refer to **Appendix A**: **ELR Business Requirements** for additional information and clarification on the requirements contained within this Section.

#	Demo	Type (Pts)	Requirement	Provide a succinct explanation of how each requirement can or cannot be met. Indicate if the solution currently meets the requirement or must be modified	Compliance YES	NO
Desirable & Optional ELR Business Requirements						
1.1.1.3	Y	D (57)	The System must upon receipt of laboratory result message where the expected coded vocabulary element (including LOINC and SNOMED) fails to properly validate, flag the transaction and provide a notification to the vocabulary services administrator to investigate. The flag should intuitively communicate the type or classification of error so it maybe rapidly and accurately routed to one or more individuals for follow-up (e.g. DBA, System administrator, vocabulary domain expert, etc.). **Details**: Potential errors in validation are numerous and Web-CMR requirements 2.2.3.23 through 2.2.3.26 (form validation) address some of these cross cutting issues. Scenarios where validation is expected to catch errors and provide an exception report to the vocabulary administrator include meta-validation (e.g. a coded element is missing or populates the wrong segment) and syntactic validation (e.g. a coded element is of the wrong datatype, structure, data length, etc.). Where the System is unable to identify or classify the error, a notification should be generated immediately for resolution by the assigned help desk staff.		☐	☐

#	Demo	Type (Pts)	Requirement	Provide a succinct explanation of how each requirement can or cannot be met. Indicate if the solution currently meets the requirement or must be modified	Compliance YES	NO
1.1.1.4	Y	D (57)	For users with the appropriate security permission, the System must be configurable over time to receive lab reports containing new data elements as additions, deletions or modifications to tests, drug susceptibility diagnostics, methods and other changes occur. The System must also be configurable over time as lab reporting regulations (e.g. changes to CCR Title 17, Section 2505), reference implementations (e.g. PHIN HL7 implementation guides) and other requirements to business or technical processes change. The System must provide the ability to maintain, with limited or no direct vendor involvement the lists of LOINC lab tests and diagnostic tests and SNOMED results and organisms codes. Maintenance of vocabulary data elements (and other data standards) will require continual development and refinement by CDHS domain experts. A method to house, store, retrieve, curate and annotate these vocabulary elements within a central repository is desirable. Management of this information may be supported by the vendor, but the data and structure should be readily available and usable if exported, if the vendor fails to provide support or is no longer engaged in the project.		☐	☐

#	Demo	Type (Pts)	Requirement	Provide a succinct explanation of how each requirement can or cannot be met. Indicate if the solution currently meets the requirement or must be modified	Compliance	
					YES	NO
1.1.1.5	Y	D 57)	System must provide for the ability to assign the status of a laboratory report. The data elements and value domains used to exchange this information must be harmonized with the set of permissible values established by PHIN, however agreed upon extensions or mapping of synonymous terms to this value domain can be agreed upon for use between public health partners and CDHS. Examples include: • Final • Preliminary • Pending • Corrected		☐	☐

#	Demo	Type (Pts)	Requirement	Provide a succinct explanation of how each requirement can or cannot be met — Indicate if the solution currently meets the requirement or must be modified	Compliance YES	NO
1.1.1.7	N	D (57)	For new laboratory partners who will begin submitting laboratory results for notifiable conditions, the System should have a separate test environment so that validation and testing of the incoming message may be performed. This process should be repeated iteratively until the ELR team is satisfied that the messages are of acceptable quality before the submitter is allowed to send messages in a production environment. **Details**: All new laboratory partners should undergo a formal test and evaluation process before "certified" to submit electronic reports in lieu of traditional methods. Once it is determined that message requirements have been met and errors have been corrected, the submitter will begin submitting reports in parallel to the routine method of report submission (e.g. by fax, telephone, postal mail and other means). The ELR solution vendor and CDHS program staff will work together to validate the performance and harmonization of both electronic and manual reporting. The culmination of this process, against a well defined set of requirements, will be a certification step that ensures that the electronic system is at least as timely and accurate and meets or exceeds the threshold number of results reported manually. Gaps between electronic submission and manual submission should be documented as well and the vendor is expected to assist with this process. Cessation of manual reporting with replacement of electronic reporting should never occur until a well described process (pending) is in place and there is no uncertainty as to the accuracy, validity and security of results submitted via ELR.		☐	☐

#	Demo	Type (Pts)	Requirement	Provide a succinct explanation of how each requirement can or cannot be met. Indicate if the solution currently meets the requirement or must be modified	Compliance	
					YES	NO
1.1.1.8	N	D (57)	The System should ensure that the ELR application can audit laboratory messages via logs at every distinct system interface or application node from its entry into the State IT environment and its final destination. **Details**: After a laboratory undergoes the requisite steps to send a valid message, representative data is sent through the test environment and data that leaves the LIS and data that arrives at the ELR System are compared. Any discrepancies in data delivery should be analyzed using the logs at the various interfaces under CDHS control so that data loss due to network packet loss, interface, configuration or mapping errors or application bugs can be identified and resolved.		☐	☐
1.1.1.9	N	D (57)	The System should ensure that all ELR messages are delivered securely, using the ebXML transport protocol and XML encryption, as specified by PHIN ebXML message transport standards. Integration of the CDC's PHIN Messaging System is required (or acceptable).		☐	☐
1.1.1.10	Y	D (57)	The System must have the ability to exchange HL7 messages between sending and receiving parties using positive (ACK or Acknowledgment) or negative (NACK or Negative Acknowledgment) acknowledgment protocols to verify message delivery and a mechanism to schedule repeat attempts to resend messages if there are system or network failures.		☐	☐
1.1.1.11	N	O (1)	The System should have a method to identify drop-offs in lab reports from a particular reporting entity based on either a baseline average of prior submissions or if there is an agreement to send a periodic ping, whether a laboratory report is to be delivered or not, to ensure that communication between parties is maintained. Detection of a significant drop off in lab reports, or a ping or lack of a ping resulting in a negative acknowledgment would then trigger a notification to follow-up and identify if there are communication issues.		☐	☐

SECTION 7: COST

7.1 Introduction

Bidders are responsible for including the costs necessary for meeting the requirements contained within this RFP. Bidders must submit cost information in a separately sealed envelope that is clearly marked "Volume 3, Cost Data". Cost Data will not be opened and evaluated until after the Evaluation Team has determined that the Bidder's proposal is fully compliant with the format and Mandatory Requirements of this RFP. The cost proposal will be scored using a calculation where the most points will be awarded to the proposal with the lowest Total Cost. Bidders must provide one-time costs, on-going costs, and other costs.

Cost Type	Worksheet Number	Worksheet Description
Total Cost	7-1	Total Cost Summary
One-Time Costs	7-2	Project Management Planning
	7-3	Configuration
	7-4	Infrastructure
	7-5	Testing
	7-6	Implementation
On-Going Costs	7-7	Training
	7-8	Support
	7-9	Maintenance and Operations
Other Costs	7-10	Labor Rates

7.1.1 One-Time Costs

One-time costs include the costs to the State for the acquisition and implementation of the proposed solution, and include the costs for project management planning; configuration and system documentation; hardware and software; testing; and implementation.

- Project Management Planning Costs: The Bidder shall enumerate all one-time project management planning costs for the ELR project. These include, but are not limited to costs for Business Requirements Verification (Traceability Matrix), Project Schedule, Implementation Plan, Training Plan, Migration Plan, Transition Plan, Support Plan, and Disaster Recovery/Operational Recovery Plan(s).

- Configuration Costs: The Bidder shall enumerate all one-time costs for configuration of the ELR system. This includes the costs for system configuration, and the costs for all required system documentation.

- Infrastructure Costs: The Bidder shall enumerate all one-time costs for hardware required to implement the ELR system, and all one-time software costs for ELR. The Bidder shall describe all proposed hardware, including the function, quantity, manufacturer, and brand name for each proposed item. For software costs, the Bidder must provide *either* a cost for each category of Requirements (Mandatory, Desirable, and Optional) or for each Bidder-defined module. *If the Bidder chooses the latter option, the Bidder MUST provide a detailed description of the functionality included in each module, and the specific requirements from this RFP that are included in each module, including the requirement number.*

- Testing Costs: The Bidder shall enumerate all one-time costs for testing of the ELR system.

- Implementation Costs: The Bidder shall enumerate all one-time costs for implementation of the ELR system.

7.1.2 On-Going Costs

On-going costs are those costs that are projected to be paid by the State on a monthly basis for the support and maintenance of the proposed solution, and include the costs for training; support, including help desk; and maintenance and operations of the solution.

- Training Costs: The Bidder shall enumerate all training costs on an estimated monthly basis. This includes costs for Knowledge Transfer Training Sessions; Technical Support Training Sessions; Help Desk and Trainer Training Sessions; End-User Training Sessions; and Training Materials.

- Support Costs: The Bidder shall enumerate all support costs on an estimated monthly basis. This includes costs for Help Desk, Technical Support, and Application Support.

- Maintenance and Operations Costs: The Bidder shall enumerate all maintenance and operations costs on an estimated monthly basis.

7.1.3 Other Costs

Other costs are costs in addition to one-time and ongoing costs. For this RFP, other costs include the labor rates for unanticipated deliverables.

- Labor Rates for Unanticipated Deliverables: DCDC anticipates that during the contract period changes may necessitate application modifications, and/or DCDC may require assistance not anticipated at this time. This support shall be structured in terns of a fixed hourly rate by classification for support of Unanticipated Deliverables. The Bidder shall enumerate the hourly rate for each Bidder-defined classification of labor.

7.2 Cost Proposal Format

Volume 3, Cost Data must be submitted in the number and format as described in *Section 8:* **Proposal Format**. Bidders must submit a complete Cost Workbook (**Exhibit 7-A**) as part of Volume 3, Cost Data. The Cost Workbook contains ten (10) cost worksheets, as described above, that each Bidder must complete. Bidders are responsible for entering cost data in the format of the Cost Workbook. Bidders may add additional lines for itemized costs to each Worksheet, however, Bidders must not alter the pre-set formulas contained within the Cost Workbook. Volume 3, Cost Data, must also include a letter of bondability as per Administrative Requirement 4. This letter of bondability must include the percentage of and the dollar amount of the overall bid to be covered.

Exhibit 7-A

Exhibit 7-A: *Cost Workbook*

Included below is a display of each table contained within the Cost Workbook. Each of these tables is also contained within the Excel file, Cost Workbook.xls, provided to each Bidder.

Worksheet 7-1 - Total Cost Summary Worksheet	
Cost Category	**Summary Cost**
ONE-TIME COSTS	
7-2 Project Management Planning Cost	$ -
7-3 Configuration Cost	$ -
7-4 Infrastructure Cost	$ -
7-5 Testing Cost	$ -
7-6 Implementation Cost	$ -
ON-GOING COSTS	
7-7 Training Costs	$ -
7-8 Support Costs	$ -
7-9 Maintenance & Operations	$ -
TOTAL	**$ -**

Worksheet 7-2: Project Management Planning Costs		
Item Description	**Estimated Staff Hours**	**Cost**
Business Requirements Verification (Traceability Matrix)		$ -
Project Schedule		$ -
Implementation Plan		$ -
Training Plan		$ -
Migration Plan		$ -
Transition Plan		$ -
Support Plan		$ -
Disaster Recovery Plan/Operational Recovery Plan		$ -
		$ -
		$ -
TOTAL	**0**	**$ -**

Exhibit 7-A

Worksheet 7-3: Configuration Costs		
Item Description	**Estimated Staff Hours**	**Cost**
System Configuration		$ -
System Documentation		
California Specific System Documentation		$ -
Overview of System Logic		$ -
Complete Logical and Data Model		$ -
System Administration Manual		$ -
Data Dictionaries		$ -
Additional Configuration Costs		
		$ -
		$ -
		$ -
		$ -
		$ -
		$ -
TOTAL	**0**	**$ -**

Exhibit 7-A

Worksheet 7-4: Infrastructure Costs								
Item Description		**Purchase Price**	**Tax**	**Delivery**	**Installation Charge**	**Total Unit Cost**	**Quantity Needed**	**Total Item Cost (Unit Cost*Quantity)**
Detailed Hardware Costs	**Make/Model/ Specifications**							
Development Environment		$ -				$ -		$ -
Testing/Training Environment(s)		$ -				$ -		$ -
Production/Staging Environment(s)		$ -				$ -		$ -
Additional Hardware		$ -				$ -		$ -
							Hardware TOTAL	**$ -**
Detailed Software Costs*	**Version/# of Licenses/Speci fications**							
Mandatory Requirements		$ -				$ -		$ -
Desirable Requirements		$ -				$ -		$ -
Optional Requirements		$ -				$ -		$ -
Additional Software		$ -				$ -		$ -
		$ -				$ -	**Software TOTAL**	**$ -**
							TOTAL	**$ -**

*Bidder has the option to provide Software Costs by Bidder-defined modules. If Bidder chooses this option, the Bidder *MUST* provide a detailed description of the functionality included in each module, *including the specific requirements from this RFP that are included in each module. This description must also include the requirement # for each requirement included.*

Exhibit 7-A

Worksheet 7-5: Testing Costs		
Item Description	**Estimated Staff Hours**	**Total Item Cost**
		$ -
		$ -
		$ -
		$ -
		$ -
		$ -
		$ -
TOTAL	**0**	**$ -**

Worksheet 7-6: Implementation Costs		
Item Description	**Estimated Staff Hours**	**Total Item Cost**
		$ -
		$ -
		$ -
		$ -
		$ -
		$ -
		$ -
TOTAL	**0**	**$ -**

Exhibit 7-A

Worksheet 7-7: On-going Training Costs								
		Year 1				Year 2		
Item Description	Rate Per Hour	Estimated Hours Per Month	Total Cost Per Month	Total Cost Year 1	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 2
Knowledge Transfer Training	$ -		$ -	$ -	$ -		$ -	$ -
Technical Support Training	$ -		$ -	$ -	$ -		$ -	$ -
Help Desk and Trainer Training	$ -		$ -	$ -	$ -		$ -	$ -
End-user Training	$ -		$ -	$ -	$ -		$ -	$ -
Training Materials	$ -		$ -	$ -	$ -		$ -	$ -
TOTAL			$ -	$ -			$ -	$ -

Year 3				Year 4				Year 5				
Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 3	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 4	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 5	Total 5 Year Cost
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
		$ -	$ -			$ -	$ -			$ -	$ -	$ -

NOTE: These 5 year costs are for Evaluation purposes only. This is not a commitment from DCDC to engage in a five (5) year contract.

Exhibit 7-A

Worksheet 7-8: Support Costs								
		Year 1				Year 2		
Item Description	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 1	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 2
Help Desk	$ -		$ -	$ -	$ -		$ -	$ -
Technical Support	$ -		$ -	$ -	$ -		$ -	$ -
Application Support	$ -		$ -	$ -	$ -		$ -	$ -
	$ -		$ -	$ -	$ -		$ -	$ -
	$ -		$ -	$ -	$ -		$ -	$ -
TOTAL			$ -	$ -			$ -	$ -

Year 3				Year 4				Year 5				
Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year3	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 4	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 5	Total 5 Year Cost
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
		$ -	$ -			$ -	$ -			$ -	$ -	$ -

NOTE: These 5 year costs are for Evaluation purposes only. This is not a commitment from DCDC to engage in a five (5) year contract.

Exhibit 7-A

Worksheet 7-9: Maintenance & Operations Costs								
	Year 1				Year 2			
Item Description	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 1	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 2
	$ -		$ -	$ -	$ -		$ -	$ -
	$ -		$ -	$ -	$ -		$ -	$ -
	$ -		$ -	$ -	$ -		$ -	$ -
	$ -		$ -	$ -	$ -		$ -	$ -
	$ -		$ -	$ -	$ -		$ -	$ -
TOTAL			$ -	$ -			$ -	$ -

Year 3				Year 4				Year 5				
Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year3	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 4	Rate Per Hour	Hours Per Month	Total Cost Per Month	Total Cost Year 5	Total 5 Year Cost
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
$ -		$ -	$ -	$ -		$ -	$ -	$ -		$ -	$ -	
		$ -	$ -			$ -	$ -			$ -	$ -	$ -

NOTE: These 5 year costs are for Evaluation purposes only. This is not a commitment from DCDC to engage in a five (5) year contract.

Exhibit 7-A

Worksheet 7-10 Labor Rates for Unanticipated Deliverables	
Labor Classification	**Hourly Rate**
	$ -
	$ -
	$ -
	$ -
	$ -
	$ -
	$ -
	$ -
	$ -
	$ -
	$ -
	$ -

*SECTION 8***: PROPOSAL FORMAT**

8.1 Introduction

This section instructs Bidders on the mandatory format for submissions in response to this RFP. Format instructions <u>must</u> be adhered to, all requirements and questions in the RFP must be responded to, and all requested data must be supplied by the Bidder to be considered responsive to this RFP.

8.2 Submission of Intention to Bid

As outlined in **Section 1: Introduction** of this RFP, when a Bidder submits their intent to submit a proposal to this RFP they must provide the following:

- ▪ Exhibit 1-A: Letter of Intention to Bid (for both Web-CMR and ELR RFPs)
- ▪ Exhibit 1-B: Statement of Experience and Financial Conditions
- ▪ Supporting Financial Documentation
- ▪ Exhibit 1-C: Signed Confidentiality Agreement

8.3 Submission of Draft Proposal

Bidders must submit the Draft Proposal in conformance with <u>Section 8.4 Submission of Final Proposal</u>, *except that all dollar cost items must be filled in using XXXs.* Costs must include any additional information or language that will be shown in the Final Proposal, without providing any cost figures. It is important that all forms and all cost worksheets be included with all entries completed except dollar figures.

Inclusion of cost figures in the Draft Proposal may result in elimination of the Bidder from further participating in the procurement process.

8.4 Submission of Final Proposal

Three (3) hard (paper) copies of the complete Final Proposal, comprised of the four (4) volumes, must be submitted in the manner and format described. All submitted proposals must include the items described below. One of the three hard copies of the complete proposal must be clearly marked as the "Master Copy". Each hard copy of Volume 3: Cost Data must be submitted in a separate sealed envelope.

In addition, ten (10) hard copies of the "Response to Section 6: Technical and Business Requirements" portion of Volume 1 must be submitted. Each page of the proposal must be clearly marked with the Bidder's name, page number, and the RFP number (07-65624).

Additionally, three (3) electronic copies of the complete Final Proposal, comprised of the four (4) volumes, must be submitted as described, in pdf format. Each copy of Volume 3 must be submitted on a separate media format (e.g. CD, DVD), in a separate sealed envelope clearly marked as "Cost Data". Each of the three (3) copies of the remaining Volumes (Volumes 1, 2, and 4) must be submitted on a single media format (e.g. CD, DVD). Each page of the proposal must be clearly marked with the Bidder's name, page number, and the RFP number (07-65624).

8.4.1 Volume 1: Response to Requirements
(3 hard and 3 electronic copies of entire Volume)
- ▪ Signed Cover Letter to Proposal
- ▪ Executive Summary of Proposal
- ▪ Response to Section 5: Administrative Requirements to include:
  - ▪ Exhibit 5-A: Administrative Requirements Response Matrix

- ▪ Evidence of Workers' Compensation Insurance
- ▪ Letter of Bondability (percentage of overall bid *only*)
- ▪ Exhibit 5-B: Vendor Certification Form
- ▪ Exhibit 5-C: Vendor Experience Form
- ▪ Exhibit 5-D: Customer Reference List
- ▪ Exhibit 5-E: Project Team Experience Matrix
- ▪ Project Team Organization Chart
- ▪ Resumes of principal personnel
- ▪ References for principal personnel
- ▪ Description of roles and responsibilities for Project Team members
- ▪ Exhibit 5-F: Proposed Subcontractor List
- ▪ Resumes of proposed subcontractors
- ▪ References for proposed subcontractors
- ▪ Payee Data Record
- ▪ Response to Section 6: Business Requirements (**10 additional copies)** to include:
  - ▪ Mandatory Business Requirements Response Table (Section 6.2)
  - ▪ Desirable and Optional Business Requirements Response Table (Section 6.3)

8.4.2 Volume 2: Strategy for Proof of Concept Demonstration
(3 hard and 3 electronic copies of entire Volume)

- ▪ Bidder must provide a comprehensive description of how they plan to present the requirements identified for the Proof of Concept (POC) demonstration (Section 10.3: Proof of Concept (POC) Demonstration Requirements) including a description of the functionality they plan to demonstrate, and scenarios used to demonstrate these functionalities. The written scenarios must clearly indicate, in demonstration order, the specific requirements (including requirement number) being demonstrated at each step of the scenario.

8.4.3 Volume 3: Cost Data
(3 hard and 3 electronic copies of entire Volume)

Bidder must provide Cost Data, as described in Section 7, in a separate **sealed** envelope. The Cost Workbook (**Exhibit 7-A**) and a Letter of Bondability with percentage and dollar amount of bid to be covered must be provided. To ensure integrity of the proposal and the evaluation process, Volume 3 Cost Data must be received in a separate **sealed** envelope. Any Cost Data not properly sealed or appearing external to the cost sheets will lead the proposal to be deemed disqualified. No further evaluation will be conducted on the proposal.

8.4.4 Volume 4: Literature
(3 hard and 3 electronic copies of entire Volume)

This volume contains all technical and reference literature necessary to support the responses to the requirements of this RFP.

SECTION 9: **EVALUATION AND SELECTION**

9.1 Introduction

This section presents the process that the State will follow to evaluate proposals submitted by Bidders in response to this RFP. The evaluation process is a multi-step process comprised of a thorough review of each proposal to determine the responsive proposal that offers the best value to the State. The best value proposal is the proposal that meets all Mandatory Requirements of this RFP, and offers the best combination of Requirements, Total Cost, and Corporate Qualifications.

9.2 Receipt of Proposals

Complete proposals must be delivered by the date specified in Section 1.5: Key Action Dates. Each proposal will be date and time marked as it is received and verified that all responses are submitted under an appropriate cover, sealed and properly identified. Proposals will remain sealed until the designated time for opening.

9.3 Evaluation Team

The State will establish an Evaluation Team, comprised of individuals selected from the State and LHDs familiar with the Business Requirements of this RFP. Bidders may not contact members of the Evaluation Team except at the State's request and through approval of the Procurement Official listed in Section 1.4. The Evaluation Team will use consensus to determine pass/fail and to arrive at evaluation scores for each proposal.

9.4 Review of Draft Proposals

The Evaluation Team will review Bidder Draft Proposals to identify (1) administrative deficiencies which if included in the Final Proposal could cause the proposal to be rejected; and (2) ambiguities in responses to requirements that require additional clarification in the Final Proposal by the Bidder. Each Volume of the Draft Proposal will be reviewed. The State will notify each Bidder, in writing, of any identified deficiencies and areas requiring clarification in the Final Proposal. This notification is intended to minimize the risk that the Final Proposal will be non-compliant; however, the State will not provide any warranty that all deficiencies in the Draft Proposal have been detected and that such notification will not preclude rejection of the Final Proposal if such defects are later found.

9.5 Evaluation of Final Proposals

9.5.1 Proposal Submission Requirements [Pass/Fail]

All proposals received by the time and date specified in Section 1.5: Key Action Dates, will be opened and acknowledged as having been received at that time. *(Volume 3 - Cost Data shall remain sealed until the evaluation of Administrative and Business Requirements is completed.)* The proposals will be checked for the presence of proper identification and the required information in conformance with the proposal submission requirements of this RFP. Absence of required information may deem the proposal non-responsive and may be cause for rejection. Unsealed proposals will be rejected.

9.5.2 Validation Against Requirements

Bidders must respond to all Requirements contained within this RFP. Failure to provide required information may result in the rejection of a proposal. The State will evaluate Bidder responses to the Administrative and Business Requirements.

9.5.2.1 Administrative Requirements Review [Pass/Fail]

Bidders will be given a "Pass" if the required information is included in the proposal, and a "Fail" if the required information is incomplete or missing from the proposal. If a proposal fails to meet one or more of the Administrative Requirements in *Section 5:* **Administrative Requirements**, the Evaluation Team will determine if the deviation is material. If the deviation is determined to be material, the proposal will be considered non-responsive and excluded from further consideration.

9.5.2.2 Mandatory Business Requirements Review [Pass/Fail]

Bidders will be given a "Pass" for each Mandatory Business Requirement they agree to provide in the proposal, and a "Fail" for each Mandatory Business Requirement that is not properly addressed in the Bidder's proposal, or Bidder does not agree to provide in the proposal. Failure to meet one or more Mandatory requirements will result in a rejection of the Bidder's proposal. In the event that all Bidders fail to meet one or more Mandatory Business Requirements, the State reserves the right to continue the evaluation of proposals, and to select the proposal which most closely matches the requirements in this RFP.

9.5.2.3 Business Requirements Review and Evaluation [Scored]

Proposals that pass the Administrative Requirements Review and the Pass/Fail Mandatory Business Requirements Review will be reviewed by the Evaluation Team, and assigned a rating based on the response characteristics, as described in Table 9.1. Maximum points will be awarded to responses rated as Excellent; partial points will be awarded to responses rated as Very Good, Average, and Below Average; and no points will be awarded to responses rated as Unacceptable.

Table 9.1 Bidder Response Characteristics and Ratings

Rating	Response Characteristics
Excellent	Bidder response fully meets Requirement, is achievable, applies best practices, is clearly and concisely presented, is well integrated and proven, and is logically organized with no identified weaknesses.
Very Good	Bidder response fully meets Requirement, is achievable, is suitable, is acceptably presented, is integrated and proven, and is organized with identified weaknesses that are minimal or resolvable.
Average	Bidder response meets Requirement, is achievable, is somewhat suitable, is less than acceptably presented, is somewhat organized and proven, and is less than acceptably organized with identified weaknesses that are of medium-level of risk.
Below Average	Bidder response is not fully achievable, is not integrated or proven, and is less than acceptably organized with identified weaknesses that are of a high-level of risk.
Unacceptable	Bidder response is considered to be an undesirable response to the Requirement, or is determined to be non-responsive.

9.5.2.3.1 Business Requirements Review and Evaluation

The Evaluation Team will score Bidder responses to the Business Requirements, and will award to each Bidder up to the maximum number of points for each requirement, based on the response characteristics. The maximum score for each Mandatory Business Requirement is 200, the maximum score for each Desirable Business Requirement is 57, and each Optional Business Requirement will be awarded up to 1 point. To generate a score for

Business Requirements, the total number of points awarded for Mandatory and Desirable Business Requirements will be summed. *Optional Business Requirements will not be considered in the scoring unless there is a tie between two or more Bidders' Combined Proposal Scores, as described in Section 9.6.*

9.5.3 Corporate Qualifications Review and Scoring

Corporate qualifications will be evaluated for those proposals that pass the Administrative Requirements Review and the Pass/Fail Mandatory Business Requirements Review. Corporate qualifications include the Bidder's financial stability, corporate certifications, qualifications of proposed staff, experience implementing solutions similar to that requested in this RFP, and customer reference checks.

The maximum number of points available for Corporate Qualifications is 1000 points, distributed among the five measures of corporate qualifications as summarized in Table 9.2

Table 9.2: Points Available for Corporate Qualification Measures

Measure of Corporate Qualifications	Points Available
Financial Stability	300
Vendor Certifications	100
Staff Qualifications	200
Vendor Experience	100
Customer References	300

9.5.3.1 Financial Stability (300)

The Statement of Experience and Financial Condition (**Exhibit 1-B**) and financial statements for the last five (5) fiscal years ended, submitted as part of the Intent to Bid package will be reviewed to determine financial stability. If the State acquires independent credit statements or requests additional information from the Bidder or other sources to determine the Bidder's financial stability, information from these sources will also be considered in the evaluation of corporate financial stability. Points up to the maximum (300) will be awarded to each Bidder based on strength of indicators of financial stability, including the strength of demonstrated trends of increased sales growth, and increased net income growth.

9.5.3.2 Vendor Certifications (100)

The Vendor Certification Form (**Exhibit 5-B**) will be evaluated and scored for each Bidder. Points awarded to each Bidder will be based on the Bidder's number of relevant certifications/accreditations relative to the responsive Bidder with the greatest number of relevant certifications/accreditations.

Vendor Certification Score = (X/H)*100

Where: X = Bidder's # Relevant Certifications/Accreditations
        H = Highest # Relevant Certifications/Accreditations possessed by a Bidder

9.5.3.3 Staff Qualifications (200)

The Project Organization Chart, résumés, and Experience Matrix (**Exhibit 5-E**) of principal staff will be evaluated to determine the qualifications of the proposed staff for their proposed role and responsibilities. References will be checked for proposed principal staff. Résumés of principal staff demonstrating strong experience in solution implementation, civil service, and /or public health that are confirmed by customer references may receive the maximum number of points (200) or a portion thereof, depending on the customer reference. The median number of points awarded to all proposed principal staff for each Bidder will be the Bidder's score for Staff Qualifications.

9.5.3.4 Vendor Experience (100)

The number and types of jurisdictions reported to be utilizing the proposed solution, as reported on the Vendor Experience form (**Exhibit 5-C**), will be reviewed and scored based on overall number of jurisdictions and the number of implementations in jurisdictions similar to California's public health business infrastructure.

9.5.3.5 Customer Satisfaction (300)

Customers on the Customer Reference list submitted in response to Administrative Requirement 8, as well as any other customers the State may select will be contacted during the Evaluation process. Customers will be interviewed regarding (1) Vendor performance and reliability; (2) Vendor's proposed budget, schedule, and staff compared to the actual project budget, schedule, and staff; (3) software solution performance and reliability; as described below in Table 9.3. The majority of the customers must respond positively in order for the Bidder to be successful in this portion of the evaluation. Negative responses from customers may be cause for rejection of the proposal. The median number of points will be calculated based on the all of the customer reference interviews conducted for each Bidder. The median number of points will be awarded to the Bidder as their Customer Satisfaction score. Table 9.3 presents the interview topics and points available for each topic of the Customer Reference Interview.

Table 9.3: Customer Reference Interview Topics

Vendor Performance and Reliability	Points
Is the solution fully operational as claimed by Vendor	40
Quality of documentation and/or training provided by Vendor for use of its products	20
Responsiveness of the Vendor in the event of product problems, including emergencies	20
Vendor's preventative maintenance program	20
Vendor's ability to provide software support	20
Ability of the Vendor to respond to changing business needs by adding, removing, or changing products as needed or requested	20
Overall reliability of the Vendor	20
Interaction between your staff and the vendor when there were issues with a product or service	20
Vendor's invoicing competency, including ability to resolve invoicing issues	20
Vendor's ability to provide service and products that make you want to contract with them again	20
Vendor's Proposal vs. Actual	
Vendor's proposed budget compared to actual budget	20
Vendor's proposed schedule compared to actual schedule	20
Vendor's proposed staff compared to actual staff	20
Software Solution Performance and Reliability	
Overall performance and reliability of the software	20

9.5.4 Cost Analysis and Scoring

Volume 3, Cost Data, will be unsealed and opened, for those proposals that pass the Administrative Requirements Review and the Pass/Fail Mandatory Business Requirements Review, after the Requirements Review and Evaluation has been completed. The required cost forms and schedules will be checked for mathematical accuracy. Errors and inconsistencies will be dealt with according to procedures contained in *Section 2:* **Rules Governing Competition***.* Only those cost adjustments will be made for which a procedure is described in this RFP.

The Cost Score will be based on the Total Cost, as identified in *Section 7*: **Cost**, submitted in Volume 3: Cost Data. The maximum number of points available for Cost is 1000.

To generate a Cost Score, the lowest proposed cost will be divided by the Bidder's proposed cost, and then multiplied by the maximum number of points available (1000).

Cost Score = (L/X)*1000   Where: X = Bidder's Proposed Cost
                                                            L = Lowest Proposed Cost

9.5.5 Proposal Scoring

After scores have been generated for each evaluation section (Business Requirements, Corporate Qualifications, and Cost) a Proposal Score will be generated by applying a weighted factor to the Score for each evaluation section. Additionally, the Bidder's score for Technical Requirements for their response to the Web-CMR RFP (07-65623) will be utilized in generating an ELR Proposal Score. To

generate the Proposal Score, the Technical Requirements Score (from the Bidder's response to the Web-CMR RFP 07-65623) will be multiplied by a factor of 0.15; the Business Requirements Score will be multiplied by a factor of 0.40; the Corporate Qualifications Score will be multiplied by a factor of 0.25; and the Cost Score will be multiplied by a factor of 0.20. These figures will be summed to generate the Proposal Score.

> Web-CMR Technical Requirements Score*0.15
> ELR Business Requirements Score*0.40
> ELR Corporate Qualifications Score*0.25
> **+**   ELR Cost Score*0.20
> _____
> ELR Proposal Score

9.6 Selection

Selection of a Vendor will be based on the combined Proposal Scores for the ELR Proposal, in response to this RFP (07-65624) and the Web-CMR Proposal, in response to RFP 07-65623, and a successful Proof of Concept demonstration. Each Proposal Score will be multiplied by a weighted factor, and will then be summed to generate a Combined Proposal Score. The Bidder with the highest Combined Proposal Score will be selected, upon successful Proof of Concept demonstration. If the Bidder with the highest Combined Proposal Score does not successfully demonstrate their solution, the State reserves the right to select the Bidder with the next highest score and successful Proof of Concept demonstration.

> Web-CMR Proposal Score*.75
> **+**   ELR Proposal Score *.25
> _____
> Combined Proposal Score

In the event that Combined Proposal Scores for two or more Bidders are identical, the points awarded for Optional Requirements will be added to each Bidder's Proposal Score. The number of points awarded for Web-CMR Optional Technical Requirements and the number of points awarded for Web-CMR Optional Business Requirements will be added to the Bidder's Web-CMR Proposal Score. The number of points awarded for ELR Optional Business Requirements will be added to the Bidder's ELR Proposal Score. An adjusted Combined Proposal Score will then be regenerated.

<u>After the Bidder with the highest Combined Proposal Score has successfully completed the Proof of Concept Demonstration, a Notice of Intent to Award the contract will be issued to that Bidder.</u>

All processes and procedures set forth in this RFP constitute the sole administrative processes and procedures available for Bidders. No further administrative remedies (e.g., protests, appeals, or requests for reconsideration) will be available for Bidders following <u>Department of Finance approval</u> ~~issuance of the Notice of Intent to Award the contract resulting from this procurement~~. ~~Selection of the Vendor~~ <u>Department of Finance approval</u> shall constitute the final administrative determination.

SECTION 10: **PROOF OF CONCEPT DEMONSTRATION**

10.1 Introduction

The Proof of Concept (POC) Demonstration is intended to offer the State the opportunity to verify claims made in the selected Bidder's proposal in response to the requirements, corroborate the evaluation of the Bidder's proposal, and to confirm that the Bidder's solution is operational. The Bidder with the highest Combined Proposal Score, as described in **Section 9: Evaluation and Selection**, will be notified that a POC Demonstration is required. The Bidder must demonstrate that the requirements listed in Section 10.3 Proof of Concept (POC) Demonstration Requirements can be satisfied by the Bidder's proposed solution. If the State requires the Bidder to clarify any additional items through the POC Demonstration, the State will notify the Bidder of the additional demonstration items at least five (5) State business days in advance of the scheduled demonstration.

10.2 Preparation

Each Bidder must submit a complete plan for the POC Demonstration with their Draft and Final Proposals in Volume 2. This plan must include a comprehensive description of how they plan to present the requirements identified for the Proof of Concept (POC) demonstration (Section 10.3: Proof of Concept (POC) Demonstration Requirements) including a description of the functionality they plan to demonstrate, and scenarios used to demonstrate these functionalities. The written scenarios must clearly indicate, in demonstration order, the specific requirements (including requirement number) being demonstrated at each step of the scenario. *Although each Bidder must submit a plan for the POC Demonstration with their Final Proposal, only the apparent selected Bidder will be requested to conduct a POC Demonstration.*

The Bidder conducting the POC Demonstration must make all arrangements for the POC Demonstration facilities at no cost to the State. The POC Demonstration will be held at California Department of Health Services (CDHS) headquarters in Sacramento, California. The POC Demonstration is limited to a maximum of eight (8) hours, including solution demonstration and response to questions from members of the Evaluation Team. The Bidder will have an additional one (1) hour to set-up the demonstration facilities prior to the POC Demonstration and an additional one (1) hour to remove equipment from the demonstration facilities after completion of the POC Demonstration.

The POC Demonstration must include demonstration of the requirements specified below in Section 10.3 Demonstration Requirements. Failure of the Bidder to demonstrate that the claims made in the proposal in response to the requirements are true may be sufficient cause to deem the proposal non-responsive. The State reserves the right to determine whether or not the POC Demonstration has been successfully passed.

10.3 Proof of Concept (POC) Demonstration Requirements

The Bidder conducting the POC Demonstration must demonstrate to the Evaluation Team *all* Mandatory Requirements that are marked with a "**Y**" in the Demo column of the Mandatory Technical Requirements Response Table and the Mandatory Business Requirements Response Table. Additionally, the Bidder must also demonstrate to the Evaluation Team each of the Desirable and Optional Requirements the Bidder agrees to provide (by checking "**Yes**" indicating compliance with the requirement) that are marked with a "**Y**" in the Demo column of the Desirable and Optional Technical Requirements Response Table and the Desirable and Optional Business Requirements Response Table.